

LEADERSHIP ON THE FRONTLINES:

Changes in Preparation and Practice

THE 2008 YEARBOOK OF THE NATIONAL COUNCIL
OF PROFESSORS OF EDUCATIONAL ADMINISTRATION

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Printed in the United States of America
10 9 8 7 6 5 4 3 2 1

Main entry under title:
Leadership on the Frontlines: Changes in Preparation and Practice

A ProActive Publications book
Bibliography: p.
Includes index p. 357

ISBN No. 1-885432-45-3

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NCPEA Friends,

I am pleased to present the 2008 Yearbook: *Leadership on the Frontlines: Changes in Preparation and Practice*. This volume represents the collective work of many individuals. I owe a great deal of thanks to the Associate Editors. The incredible reviewing and editing skills of Chuck Achilles was invaluable. As well, the support and involvement of Betty Alford is greatly appreciated. My graduate assistant, Ric Brunner, was amazing. With the submission of over 80 letters of intent which yielded 60+ submitted papers and the timely evaluations of 85 reviewers responding from the near 210 asked produced this Yearbook. Without the support of so many volunteers this volume could not have been completed. I am especially beholden to Beverly Irby, Linda Lemasters, Carleton Holt, Mick Arnold and especially, Ric Brown who did a lion's share of reviewing in addition to the assistant editors. Reviewing over 60 papers required over 200 review requests. If you let me know that you could not review when you were asked, I appreciated your honesty. For those who participated, I am deeply appreciative of all your incredible scholarly work.

In addition to the 27 accepted papers, the volume contains four invited papers: the 2007 Living Legend, 2007 Cocking Lecture, the 2007 Corwin Lecture and the 2006 Cocking Lecture. These papers address the important topics of social justice, leadership preparation, professional collaboration and the culture proficient professoriate.

The blind peer reviewed accepted papers have been divided into five topics. In the first series of papers (Part 2), the issues of leadership preparation are addressed. The topics of these papers include the development of school leaders in general and the specific development of principals across variables such as authentic practice, interpersonal skills, collaboration and cross cultural skills. In addition issues of standards, models of practice and assessment are covered. The technology in preparation programs is the topic of Part 3. The two papers discuss the role of technology in preparation programs and the human aspect of distance education programs. In Part 4, critical theory and leadership practices is presented. The papers address diversity, cultural proficiency and the role of education leaders in meeting the needs of our nation's students. Leadership practices in K-12 settings comprises Part 5. The values, structure and context of the work of school leaders is carefully dissected. Also, issues of testing, licensure and professional development are discussed. In the final section, Part 6, our work in higher education appears. Topics cover program evaluation and the importance of mentoring.

It was during my presidency in 1991 that as an organization we approved the Yearbook publication first published in 1992. The initial intention and for these last seventeen years remains the same—highlight rigorous and high quality research and scholarship for education administration professors and practitioners to use in their courses and schools. Our hope, then and now, is that you will utilize the Yearbook as a course text for current leadership issues and within our schools for currency of practices. This is a terrific volume.

All best wishes,

Rosemary Papa, Yearbook Editor

Del & Jewell Lewis Endowed Chair, Learning Centered Leadership
Northern Arizona University

CHAPTER 4

PHASE CHANGE MATERIALS

INVITED CHAPTERS

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PHASE CHANGE MATERIALS

Leadership on the Frontlines: Changes in Preparation and Practice

Jeanne Fiene

The theme for this year's address, yearbook and convention—*Leadership on the frontlines: Changes in preparation and practice*—emanates from the text by Morgan and Lynch (2006), *Leading from the Front: No Excuse Leadership Tactics for Women*. While liberty was taken with the title and while the text may at first blush seem directly applicable only to women, this address, conference, and yearbook are by no means a feminist treatise or only of use to our female attendees or members. In fact, the poignancy of the theme and its discussion and approval revolved around where we find ourselves today as a nation, and as preparers of educational leaders.

The following text draws from previous NCPEA presidential messages as well as other relevant literature. I am deeply indebted to and greatly influenced by the espoused principles of this organization and by what our leaders have called us to be and to do. My desire is to remind us of past successes which serve as exemplars of NCPEA's mission, beliefs, and purposes. Further this message is intended to encourage and persuade members to join in *being in the present* by associating with the organization and its state affiliates, attending conferences, contributing to CONNEXIONS, conducting research of practice, and mentoring new and aspiring faculty. Finally, I hope to inspire members to envision an even better future for our organization and our profession. Consider this a call, if you will, to challenge the processes that diminish the encouragement of hearts or which derail leaders from modeling the way in creating and maintaining educational preparation programs and school practices that are inclusive, just, and relevant.

Let us first glance back to our past, not too distantly mind you, but far enough that we might have expected to see some things become reality. If we believe, as is asserted in literature on change (see, for example, Fullan, 1993; Kotter, 1996), that it takes at least seven years for change to occur, then we should look back at least that far. So, if we look back 14 years to a previous presidential address on changes and challenges in the professoriate, we should indeed see some results or trends. We should take heart because our president in 1993-1994, Paula Short was such a prophetic visionary. Her presidential address to NCPEA was correct.

The knowledge base is growing (in fact exponentially), information technology does operate faster and requires less and less space, the economy is global and interdependent. Short is not the only one to attest to these notions. In fact, one widely referenced source which highlights these ideas as fact is Thomas Freidman's (2005) *The World is Flat*. Pink stated likewise in his 2008 address to the NASSP convention audience: technology and off-shore outsourcing will increasingly continue to replace routine work where there are clear black and white answers and logical sequentially reached solutions. For instance, witness the recent development and explosive sales of software products such as those to complete one's taxes or basic legal documents.

Short (1994) was also correct in her predictions when she suggested that there will be “movement from competition to cooperation, from isolation to interdependence, from hierarchical power structures to participative decision making.” These are the reality of today’s schools and systems. The list of essential skills and competencies needed for the 21st Century include: critical thinking, creative problem-solving, higher order thinking, lifelong learning, flexibility and adaptability to evolving needs, cooperation, collaboration, and simultaneous adherence to standards of effectiveness and efficiency. Once again, the theme is no less important for us today. “We need to prepare kids for their future not for our past” (Pink, 2008). The students of today and the jobs of the future require new abilities. These are not only those included in the left brain success model of the past—logical, analytical, linear, and textual worldview—but also the largely undervalued and ignored right brain tendencies toward creative, holistic, graphical, contextual, empathetic and synthesized world views. In other words, we still need all the abilities from the left-brain, but one-sided thinking is no longer sufficient.

We need to create relationships in school not just among students, faculty and stakeholders but also in all aspects. The mission and vision should emerge from the context but not delimit the context. For instance, children in rural, poor, or of specific genders should not be expected to underachieve or to be less capable in mathematics. The mission and vision should be clear and connected to the ways we finance and resource our schools, what we choose to measure and value, how we select curriculum and carryout instruction. We must remind ourselves daily of the opportunity and challenges of a system of education such as ours—a free and appropriate education in the least restrictive environment for all children. In her 2008 speech to NASSP attendees, Jennifer James said, “We [your students] grow up—you [educators] save us—no matter how bad we look if you notice us... it makes all the difference [in what our futures can become]. [This is particularly important,].... when we have the fastest, deepest, and broadest changes in history happening.” In other words attending to students, and our relationships with them, as well as how relevant the learning is to their current and future lives will directly impact not only their individual success but the democratic ideals of our educational system.

We must be the leaders of our profession and the challengers of practice. Linda Morford, in her presidential address only a year ago (2007), drew from the literature on the effect size of leadership. She cited Waters, Marzano, and McNulty (2003), as well as Leithwood, Louis, Anderson, and Wahlstrom (2004) on the quality of the school leader having an effect size of .25 on a school. My question each morning in the mirror and to each reader is: does our leadership as professors, as departments of educational leadership preparation, as an organization, account for a similar effect size in the quality of the school leaders we prepare? Are we, in our actions *and* our words, ensuring the highest quality of professional development for one another, modeling and promoting ethical and just leadership, refining the knowledge base and application of theory and research on practice in our discipline, serving as advocates for professors and including, no embracing, under-represented groups? If not, then we are not being who we say we are.

Morford further suggested, “We create an epidemic in our profession where we summon the will to work with others to address issues facing schools and, thus, improve our preparation programs.” Have we? What have you specifically done? Are you sharing your knowledge with others in the field? How much more evidence do we need that the time to act is now and the persons who must act are us? One of the quotes cited by Gerber (2002) from Eleanor Roosevelt said, “The purpose of life is to live it, to taste it, to experience to the utmost, to reach out eagerly and without fear for newer and richer experience” (it was

captured 4-22-08 from <http://libertylyceum.org/quotes.shtml>). Jennifer James similarly said, “The keys to happiness are efficacy, openness to new learning and meaning beyond self.” This is why we became educators—because we loved to learn and we wanted to impact others, to make a difference. I know it is why I did, and I know I left my classroom to lead as a principal because someone whose opinion mattered convinced me I could impact more kids by becoming a building leader, an instructional leader of leaders of instruction. I left my principalship and completed my path to the professoriate because again someone I trusted and who I felt knew better than I convinced me that to train principals would be of greater impact than to be one.

I am concerned that we are too complacent, too watchful, too patient. The year is 2008 and we are in fact at least seven years into the new millennium. Have we changed or do we still largely produce building managers? Do we still perpetuate, as Gary Martin (2006) suggested in his 2005 address, the allowance of systems to remain unchanged? Therefore leaving in tact, systems focused on only one part of the equation which limits any potential for success in the 21st century. As he suggested then, “The challenge is to prepare leaders with the skill and desire to research, implement, and assess changes on a systemic level.” Additional data demanding changes in practice and a call for action resonated from the ETS (Kirsch, Braun & Yamamoto) document *America’s perfect storm* (2007). There are three foci: the growing gap between those who have and those who don’t, the new skills needed in the workplace and life, and the changing demographics and growing diversity.

I agree with Gary Martin—we need schools where all are accountable for learning, even students, and where we don’t just move on to the next grade or level. We need new skills which challenge all students to their potential, mastering the left brain but opening to the limitless potentials of the right as well, focusing all our attention on who and what is learned—not how quickly, or by restriction of resources. We must focus on conceptual understanding and the discovery of meaning, allowing for inquiry, interest, relevance and relationship. Why do we need three credit-hour courses in disjointed topics such as law, finance, and the curriculum? Is that how we lead once we are principals, or central office administrators? Why are we not demanding a greater understanding of the context in which our students will lead? How can a beginning administrator exemplify Standard 6 of the Interstate School Leadership Licensure Consortium (2008 without field based practice, extensive guided practice or apprenticeships? Unfortunately, these are not always funded or possible.

James (2008) suggested, “We are buried and mired in the second level of Maslow’s hierarchy buying stuff, stuff and more stuff. Yet, we only get to self-respect by relationships and by going deeper.” Similarly, Tony Wagner (2006) discussed the need to create rigor, relevance and relationships in schools and in learning. I would have to agree, our programs and our practices must be rigorous in order to guarantee that we are preparing the right leaders, in the right ways, for the right positions willing to do the right things in the right ways. How else can we begin to help them learn all of the managerial issues with which they must deal efficiently while also being effective instructional leaders? The principals can’t do it alone and neither can we.

NCPEA must have a relationship with every member and with our affiliate organizations. Is your state listed as an affiliate? If not, help create one. Talk to our membership committee or contact a nearby state’s affiliate for help. There is no more time for isolated research and practice; we must work together to solve the real problems of practice in our schools and our systems. Our students can wait no longer. We must find common interests, the common

concerns which connect us. The Internet and instantaneous access to information will catch up with us.

James (2008) states, “Tribalism breaks down the community—but it comes on quickly when our cultural myth is threatenedwe must teach them to think.” The struggles of the Civil Rights Movement and desegregation are one such example, where social justice and thinking minds prevailed over a tribal and prejudiced mentality. We can’t be afraid of diversity or simply give voice to inclusion and social justice we must demand and demonstrate it every day and every way. She drove home the point by discussing demographics in this illustration, “we made it all up anyway- what is Caucasian? Asian? ... why are polar bears white? ...to get into better schools?” The absurdity is how we get through life—we don’t see ‘it’ until it becomes absurdly obvious. For example, ADA was not the beginning of the existence of wheelchairs or physical challenges, it is simply when we acknowledged them. James suggests we know a historical tipping point by how strongly we ‘feel’ it. Therefore, we need leaders to help us see the absurdity of the present and to identify a new, logical, and relevant future. We must change the course and reclaim the American Dream—we still need an epidemic not of standards but of impact.

One of my favorite Einstein quotes is, “We can’t measure all that counts and not all that can be measured counts.” We have to stop the insistence on focusing only on what can be tested, counted, and categorized, instead focusing on teaching how to think, and remembering at the heart of education is the driving force of our work: to educate every child. I don’t know if the beginning of learning according to Pink (2008) but I believe it is also critical to want to learn and to believe I can. We must create those schools, systems and preparation programs to focus on closing the gaps, addressing the full range of skills and doing so for all.

We must swallow the leadership pill by being integral leaders, builders of inclusive cultures filled with self-efficacy (Blanchard & Muchnick, 2003) because the world of education is “more sophisticated, diverse and informed than ever before” (p. ix). We cannot live in the simplistic and dysfunctional world of dichotomy anymore. Our lives, our schools, our children, and our decisions are not black/white, either/or, manager/leader, feminine/masculine, autocratic/democratic, people/task, hierarchy/participatory, right/left. We must do the business of leading not by ‘ors’ but by ‘ands’. We live in an amazing time of potential to connect and correct by coming to common ground—let us lead the way from the front by meeting and exceeding standards, taking responsibility, dedicating ourselves to lives of service, thinking, courage, initiative, perseverance and above all by being integral leaders of leaders (Morgan & Lynch 2006).

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Special thanks to my predecessors in the presidency, I hope I have represented and reiterated your thoughts as you would deem appropriate. I would also like to thank the editor for this yearbook Dr. Rosemary Papa and to all members who have participated in the publications of this organization in written and electronic formats from submission, to review, to editing, and more. I want to thank Dr. Fred Dembowski for his leadership in managing the CONNEXIONS project and for the shepherding of so many of our processes and policies related to the newly established Publications. We also owe our gratitude to Joe Eckenrode for his continued support and commitment to our written work. I am humbled and honored to work with our current and past Executive Board Members and Directors, each has become not only a respected colleague but also, a trusted friend. Thank you to our conference host, Gary Kinsey and to all of CAPEA.

From Legends to Legacy: Lessons Learned in What Counts Toward Preparing Leaders to Educate Children for Success

Mike Martin

INTRODUCTION

It is a special honor to be named by my colleagues as the “Living Legend” for 2007 from NCPEA...glad I am still alive to be here and cherish it as I move through the many changes life has to offer. Here is what a hero of mine had to say about this phenomenon:

This process of the good life is not, I am convinced, a life for the faint-hearted. It involves the stretching and growing of becoming more and more of one's potentialities. It involves the courage to be. It means launching oneself fully into the stream of life. (Carl Rogers, 1961)

It was surprising to me that preparing a talk and a paper would interrupt my current involvement in the “stream of life.” It fact it caused me both types of stress that Selye labeled “distress” and “eustress,” during these past few months I loved doing it (“eustress”), yet kept wishing I didn’t have to (“distress”)! Selye (1956; 1974) suggested that we save stress for meeting new challenges so we would have the energy to take them on. So I welcome the challenge and the energy it has given me to think about my 42-year career in education, and to share my ideas with my valued colleagues. Jack Culbertson, an earlier Living Legend and my former boss at UCEA told us when we had a difficult assignment: “Have the courage of imperfection, don’t let perfection paralysis take over your life.”

Thinking about that quote from Jack stimulated me to think about past colleagues, theoreticians, researchers, policymakers, and practitioners who had an impact both on my desire to learn and, to help others learn, particularly as I watch my grandchildren experience school for the first time.

The idea for the talk and paper came from an old memory of past courses (We called them “domains”) where students had to investigate the work of past scholars, and report on the implications of their ideas for 21st Century educators...I called it, “hooked on classics”. Always a fun dialogue with classes given my history background where the purpose is to “interpret the past, for the purposes of the present, with a view to managing the future.” (Gaddis, 2002). Dewey asserted: “knowledge of the past is the key to understanding the present...the true starting point of history is always some present situation with problems.” (Dewey, 1910; 1915). Problems we do have, along with opportunities to shape the future—if we can learn from the past.

I hope I can follow that advice, as well as that of Schon (1990), to be a “reflective” practitioner and think about my experiences and learn from them through both deep thinking and reflection and share them with you from my personal and professional perspective. My experience with both “reflection” and learning all started with my student teaching career in Santa Barbara in the early 60’s, and has grown ever since, whether I was teaching secondary

school, community college, university or adult education classes for prospective American citizens. (Now there is the best situation for teaching...those learners really wanted to learn, and there was real payoff in their success.... they got to be American citizens! It was a combination of both intrinsic and extrinsic motivation if I have ever seen it. They chose to learn, and became citizens if they passed the test my teaching was based on! Talk about motivated learners. Both Hertzberg (1968) and Maslow (1943) would have been proud of their “motivation and “growth needs” being met, thus stimulating them to further learning. They came prepared and had an unparalleled love of learning and increase in self-confidence and knowledge.)

This special type of motivation also occurred whether I was learning to play racquetball, master the computer or watching my kids and grandkids take on something they loved deeply, such as reading or soccer. The big challenge then, is to find how we can get this type of motivation and learning into our educational institutions on a regular and systematic basis, for both students and educators.

By the way, this type of challenge to learning and motivation also worried people like Pestalozzi, Froebel, Erickson, Montessori, Dewey, Parker, Hunter, and many other pioneers of school “development” that you know as well as I do. They studied, observed and implemented, having their own fair share of successes and failures in bridging the theory-practice gap. Dewey once said when observing a great school: It’s fine in practice, but would it work in theory!”(Rubin, 1966).

Oh, do I sound like a “name-dropper”? Selye, Culbertson, Maslow, Schon, Dewey, or Rogers, for starters! Hope so.... for like you, I have been shaped, beaten, formed, reformed and changed by the influence of colleagues and scholars like them throughout my life and I am much the better for it. Gosh how we did fight it at times though.

This leads me to explain the plan for this paper...I plan to share with you my thoughts on what you can do in preparing future education leaders build schools where our children and grandchildren can learn about becoming successful, in both education and life. I will share those powerful influences, or “life’s lessons” that helped me actually begin preparing this paper as early as 1959 when I began my study of education and learning at the University of California at Santa Barbara, and will hopefully continue as a “work in progress” for the rest of my life. It could aptly be labeled, “Oldies but Goodies”.

First, you should know what I believe so what follows will make sense: I believe in learning as much as we can about all forms of learning; that there are multiple intelligences that count; that a quality and deep curriculum is necessary and essential; that a common and democratic school is the best vehicle for learning; that this quality school must have a positive culture and climate so that terrific teachers can do their best work, so that every child has an opportunity to learn and finish schooling at the highest level they can. It of course must be responsive and accountable. We must prepare education leaders (including teachers and administrators) to build these institutions so that learning of all kinds can occur...particularly in areas such as social justice, lifelong learning, relationship nurturing, the fostering of human potential, communication, thinking; and of course, all of the basic knowledge and skills so vital to a successful life. These must include the currently neglected areas of art, music, the humanities, and what Bloom, Kathwohl, and Simpson and colleagues labeled the “cognitive” “psychomotor, and affective domains” (1956, 1972, 1973). Yes, of course “cognitive” skills such as those used in math, science, history, and all communication areas, including oral and written skills must be central to this learning process.

As you can tell, several themes emerge from my” life’s lessons” about education: learning, multiple intelligence, quality curriculum, common, democratic and quality schools, positive culture and climate, terrific teachers, well prepared education leadership, and a diverse and individualized, yet fully accountable assessment or measurement program, from P through 20. I will share my personal ideas about these themes, and give credit to those whose writings; speeches or professional behavior influenced me the most. In short, I will be guilty of dropping a name or two in the process, recognizing that it might bore you, perhaps insult you a bit; nor can I ever do a “laundry list” that would ever be as good as yours, or even to my own satisfaction. I will no doubt leave off some of your heroes. But, do think about who they might be and how they influenced your work.

BACKDROP

If you thought I was going soft on the “basic skills” from my earlier comments, then review this next statement from the 2006 Conference Board Report:

The most important knowledge and skills our young people can learn for successful lives and employment are: teamwork, collaboration, self-direction, critical thinking, problem solving, professionalism, a work ethic, oral, spoken, and written communications, diversity, leadership, ethics and social responsibility, lifelong learning, and the ability to apply information technology. (16-24)

This is a powerful list yet quite similar to those regularly issued in past years by the U. S. Department of Labor. Actually no new surprises. All of these attributes apply equally to both our candidates for administrative leadership preparation, and our children and grandchildren as they prepare themselves for life during and after schooling. It is easy to see how these attributes have influenced the themes of this paper

1. LEARNING

In the 1980’s Goodlad observed many classrooms in America when preparing his book, *A Place Called School*. Ornstein and Levin reviewed it a few years later and issued this scathing quote based on Goodlad’s observations on classroom learning:

...There is a need to maintain orderly relationships; enthusiasm and joy and anger are kept under control; the emotional tone is flat or neutral; most students’ work involves listening to teachers, writing answers to questions and taking tests and quizzes; students rarely learn from each other; there is little hands-on activity; textbooks and workbooks generally constitute the media of instruction; instruction seldom goes beyond the mere possession of information; and, little effort is made to arouse student curiosity or to emphasize rational thinking.

Ornstein & Levin, 1999.

Disappointing isn’t it...my first topic is “Learning” and already things sound dismal...this quote continues to haunt me, particularly in these days of No Child Left Behind (NCLB) or, as critics say, “many children being left behind”. The *Teachers College Record* recently published an article reinforcing these observations in a charter school in California (Durst, 2005). For starters, then, I distinguish learning from teaching. My own teaching did not

measurably change from “sage on the stage” to “guide on the side” until I began worrying more about learning than teaching. Disciplines like the developmental, behavioral and neurosciences always made more sense to me as an educator than the others and they have greater concern for the learning process than teaching.

As a preface to this section I wish to honor the work of Edgar Dale from Ohio State University. I met him while on the UCEA staff in 1971 (1969). His “Cone of Experience” was brilliantly conceptualized, as he ably described the continuum of learning based on what happens to a learner two weeks after receiving new information.... 90% it is forgotten, unless it was learned actively, rather than passively, in which case 90% is retained. He was a giant of a man and we often passed out his “cone of learning” to students at UCD to model the beliefs we had about student learning.

Madeline Hunter (1967), another favorite scholar-practitioner of mine, advised us when I studied with her in the 1960’s, to have lesson plans that took into account all the ways that people learn, and that learning was far more important than teaching, contrary to the many misinterpretations of her ideas, which unfortunately abound. She was one of my heroes, based on her vigorous advocacy of the sound “elements” so necessary for quality learning, including: clear goals for learning, checking for understanding, guided practice, checking for retention through reinforcement, and closure. They were all parts, rather than dictates of a quality lesson plan geared toward student learning. (Hunter, 1967; Goldberg, 1990).

I think people learn best when they are solving problems and are engaged in complex intellectual tasks—Rousseau, Knowles, Greene, Piaget, Vygotsky, Montessori, Bridges, Slavin, and others have convinced me this makes the most sense. Greene once stated at a school-community conference I sponsored at CU in the late 1970’s, that: “human beings define themselves through the projects with which they become involved”. By means of engagement with a project, the attitude of “wide-awakeness” develops, and contributes to the choice of actions that lead to self-formation (Greene, 1995; Ayers & Miller, 1998). Powerful thinking on her part.

Cooperative, active, project based, constructivist, action-research-based, and similar forms of methodologies have all dramatically improved my students’ learning and my own...much more so than other approaches. However, since learning is so personal, other approaches may work for others! And probably do.

A quality preparation program also ought to have diverse “learning experiences” in the curriculum, as Louise Tyler called them in her classes at UCLA. Whatever those diverse views, we must remember that Piaget argued that activities or situations should engage learners and require adaptations...that teaching methods should actively involve students and present them with challenges, thus enhancing learning and cognitive development (1929; 1932). His theories are quite similar to other constructivist perspectives on learning, particularly those of Lev Vygotsky. I would be remiss not to mention his intellectual contributions to learning. Simply put, in his view: social interaction plays a fundamental role in the development of cognition! (Vygotsky, 1962; 1978). Why then is “drill and kill” such a predominant force for learning in our schools. (Durst, 2005). Thank goodness Cuban and colleagues have found shining examples of child-centered rather than teacher-centered lessons in the many schools they visited around the country (Cuban, 1988; 1998; 2000). (Of course that was before NCLB!)

Montessori’s innovative approach was that “education should no longer be mostly imparting of knowledge, but must take a new path...the release of human potentialities.” (Montessori, 1912; Lillard, 2005). Contrary to many of the present practices in Montessori schools, she believed learning was enhanced by: small groups, greater student decision-

making, parent participation, and by stimulating the ‘absorbent mind’ of the child to the fullest, through exploration and discovery; that skills and understandings were perfected as the need occurred. She too urged the “discovery of the child” such as that advocated by Rousseau (1762) in *Emily*, and to make a careful study of pupils; proposing what is feasible, and continually thinking and worrying about the relationships.

Robert Coles (1993) also argued how service-learning activities could stimulate student learning, in many realms, particularly the affective.

Dewey viewed the mind and its formation as a communal process, and that individuals were an inextricable part of society. For him, learning was not the teaching of mere facts, but integrating knowledge and skills fully into the lives of students as persons, citizens, and human beings (Dewey, 1910; 1915). Learning by doing was the key, and these ideas led to the controversial progressive education movement in the 1930’s as a reaction to what was thought by many to be the “lock-step” education of the early years. I urge you to read the reports on the famous yet controversial Eight-Year Study, which supported many of these ideas (Aikin, 1942).

Dewey and his colleagues such as Counts, Rugg, and Parker, among others, also wanted to see the intellect broadened, with problem solving and critical thinking as the skills, rather than the memorization of lessons and information. To them, the past experiences of the students enhanced the learning of new information...a situation we all find ourselves in when preparing future school leaders...they are not “tabula rasa” or blank tablets, as once thought. Most students, especially ours in education leadership preparation, are bursting with diverse experiences that will enable them to be successful in building quality schools, in consort with the experiences of their teaching, fellow students, and administrative colleagues. The trick for us is how to create learning activities that foster the power of these social relationships in learning.

The work of Trump, Goodlad,Sizer, Wigginton, Greene and Debra Meier among others, are well known current examples of these so-called “progressive education” efforts...whole language, experiential education, alternative schools, model schools, multi-age grouping, schools without walls, cooperative learning, flexible scheduling, individualized education, deep curriculum, team teaching, non-graded schools, etc. These all have their roots in ‘progressive education,’ but with a strong emphasis on learning contrary to what many of their critics charge.

Dewey would no doubt be appalled at the current regimes of mechanization and standardization that dominate our schools at present...all quite contrary to the work of these early scholars who were railing against these same issues in the schools going back at least a century ago! No more “one size fits all” education in their views of learning and education. In fact, it seems more like “one size fits few”!

All of this of course brings controversy with parents and policymakers, as it should! Educators should be leading these discussions, however, rather than leaving it to legislators and think-tank thinkers to decide for us. And they have and still are!

My favorite scholar-practitioner related to learning was a man with whom I studied in the late 1970’ s, Malcolm Knowles, a University of Chicago Ph.D grad, and a believer that the teacher should perform the function of “process designer and manager of learning.... both of which required: relationship building; needs assessment” involvement of students in planning; linking students to learning resources, and encouraging student initiative. In his own classes, he formed “inquiry teams” which developed, explored, presented and discussed the content to be learned. He had become a “confirmed facilitator of learning.... replacing getting my rewards from controlling students, with getting my rewards from releasing students”

(Knowles, 1950; 1980). He among all the others I have mentioned has most significantly influenced my thinking and work in the area of learning.

The optimal “eustress” experiences I ever had, as a professor in Education Administration was when we had a chance to apply the ideas of all of these thinkers in our own preparation programs at CU. This occurred during the 1980’s and 1990’s, with colleagues such as Jo Roberts, Lance Wright, Kent McGuire, Sharon Ford, Rod Muth, Mike Murphy, and our school district and corporate partners such as Bob Rehm and Phyllis Saltzman, from IBM, Storage Tech, and Hewlett-Packard. We experimented with many ideas from the research and practitioner literature on how to enhance student learning: active learning; collaboration; cooperative curriculum design, planning, selection, assessment and teaching with administrators; literature-based learning activities from education and corporate sources; cohort learning, inquiry teams, etc. All of these helped us achieve some degree of national, state and university recognition for innovative work in the area of learning and “problem-based education.” We kept cobbling things together to foster greater student learning! Yet we never were satisfied and were always trying to get it better for the students.

We certainly owed those earlier scholars and intellectuals a big debt of gratitude. I challenge each of us then to think about how we should put these principles (and others) into preparation programs which foster greater student learning.

2. INTELLIGENCE

“The reason for learning is to nurture intellectual talents for the construction of our society into a more democratic and just and caring place to live.”

Maxine Greene

Intelligence is another complex topic for our prospective leaders to master, to say the least, and Maxine put things so well in her comment on nurturing intellectual talent.

Many of us were required to study intelligence in college, taking physiological, behavioral, cognitive or even adolescent psychology, etc. in our early undergraduate and graduate days. I studied Guilford, Thorndike, Binet, Skinner, etc. Didn’t help me that much, don’t know about you, although it was interesting. However it is worth nothing that more than a decade ago the American Psychological Association released a major statement on intelligence and indicated some of the startling questions related to it...what is it? Can it be measured? Is it inherited, acquired, environmental, or a combination of these and other factors? The statement identified the controversies about intelligence such as the many ways to be intelligent, and the different conceptualizations of intelligence. The APA concluded that: “many questions remain unanswered.” No real surprise to any of us I guess given the complexity of the term.

These “controversies” include the role of: family status, inheritance, race, social class, test scores, nutrition, and gender differences, as correlates of intelligence. The APA report also indicated that standardized tests did not measure all forms of intelligence (Neisser, 1996)! After all my study of intelligence in college, and reading about it during my career, I am convinced that folks like Binet, Thorndike, Terman, and Guilford were on the right track, but their focus now seems too narrow, or singular, to me, and right now I think we can learn more about intelligence from the work of scholars such as Howard Gardner, Daniel Goleman and Robert Sternberg (1977; 1985; 1990) who are building upon earlier works in their breakthrough thinking on this topic.

I first ran across Gardner at an AERA meeting in the 1980’s and was stunned by his thinking and scholarship (1983; 1991; 1995; 1999). The idea that intelligence was a multiple

construct was groundbreaking, to me at least. I was ready to learn about this to enhance my own teaching and learning at UC. We learned from him that “intelligence” has at least eight components: logical, linguistic, spatial, musical, kinesthetic, naturalist, intrapersonal and interpersonal. His concern was that most tests only measure the first two and ineptly at that, with the other forms being neglected in most teaching, curricula, tests, and measurements in education, not to mention that “performance” was never measured in “fill in the bubble” tests.

This explains the notion of success I am interested in for our children and students in the 21st century: We want every “potential”: Beverly Sils (music); Babe Zaharias, (athletics); Nancy Pelosi, (interpersonal leader); Steven Hawkins, (scientist); Rachel Carson, (naturalist); (logical, spatial): (artist); Sigmund Freud, (intrapersonal), and, Truman Capote, (linguist), to learn and feel welcomed and challenged in our educational institutions, regardless of their social class or cultural backgrounds, abilities, and test scores. They are what America stands for when we talk about “equality of opportunity,” and many of the earlier tests and measurements condemned our students to school failure, wasted potential, and unhappy lives, and mostly due to our own limited views of intelligence and learning. Education should seek to enhance the human potential as Montessori called it, in all of us, in each of these areas, as is possible, and let us pursue those that are the most interesting and worthy for ourselves, without guilt or shame if we can’t do them all well.

Robert Sternberg has suggested that most standardized tests only measure the analytical and logical, and ignore what he sees as a ‘triarchic’ model of intelligence with two other major dimensions he labeled as “creative, and practical intelligence” (1977; 1985; 1990). He sees all three, (including the analytical) as necessary to have what he labels, “successful intelligence”. His definitions of the three are interesting:

(a) *Creative intelligence* is the ability to successfully deal with new and unusual situations by drawing on existing knowledge and skills. Imagination is a big part of this intelligence; (b) *Analytical intelligence* is the ability to complete academic, problem-solving tasks (This he labels “book smart”); (c) *Practical Intelligence* refers to the ability to adapt to everyday life by drawing on existing knowledge and skills...for example, when dealing with everyday personal or practical problems (“Street Smart”). These complex learners can make the necessary adjustments to survive in tenuous situations...much like a school principal, superintendent or college president. When all three types of intelligence are “in balance” he labels it as: “*Successful Intelligence*”

Daniel Goleman also captured my interest in that his revolutionary works on both “emotional and social intelligence” has answered for me a big conundrum: how can so many people be successful, who are not “smart” (at least as measured by intelligence tests or even grades), and yet, have immense success in their careers and life. They seem to have unique abilities in such areas as self-awareness, self-management, social awareness and relationship management.... quite apart from the standard measures of intelligence (1996; 2006).

On the other hand, I have also seen students who are highly gifted as measured by these same tests or grades fail as education leaders due to lack of ability to negotiate relationships, develop an awareness of social dynamics, or manage or discipline themselves. They seem to lack what Goleman calls, “emotional or social intelligence.”

How many students have been doomed to a second- class education opportunity by our own lack of sophistication in measuring broader ranges of intellects: Gardner, Sternberg and Goleman, and many others would argue, quite a few! Most of our tests are measuring less than 20% of the school curriculum, and what is measured, gets taught. We seem to have said “goodbye” to quality social science, art, music, physical education and even science in our

schools. We must remain hopeful for the future of multiple assessments in helping us measure a broader array of “intelligence”.

3. A “COMMON” AND DEMOCRATIC SCHOOL

Life is about relationships. Why then, are we together? What is our purpose?
Margaret Wheatley, 1992.

The great ‘hero’ of American education has to be Horace Mann.... a person we have all probably studied or heard about, and whose ideas are so appropriate in these magnet-voucher-choice-elitist-faith-based, times in American public education (Mann et al., 1867). He helped establish the first public normal school in Lexington in 1839 after “self educating” himself by reading at the Franklin Town Library in Massachusetts, and apprenticing with an itinerant schoolmaster. No cause was closer to his heart than the education of the people, particularly the relationship between education, freedom and a republican form of government. He believed that the “common school” would be the ‘great equalizer’ in that it would be available to all AND equal for all, as part of their American birthright, whether rich or poor. According to Cremin the main goal of his common school was “social harmony.” (Cremin, 1957).

Serving as an attorney, state legislator, Congressman, Antioch College President, and the first Secretary of Education in Massachusetts, Mann left a legacy of the free, public school as one of the characteristic features of American life. Mason-King labeled him as a “wellspring” of freedom, and a ladder of opportunity for millions”. (Mason-King, n.d.) Just two months before he passed away he delivered his final address at Antioch College where he was quoted by Cremin (1957) as saying:

“I beseech you to treasure up in your hearts these parting words: Be ashamed to die until you have won some victory for humanity.”

Those are fine words for an educator who was highly “progressive” for his time. Now there is a word, “progressive,” often fraught with controversy throughout the history of American education. Over the past century in fact, the term “progressive education” has been part of a larger movement in America to implement the ideals of Jefferson, Mann and Dewey (among others), for a well-educated citizenry, and thus a way to create a more democratic society. It means more active engagement by all citizens in political, economic and social decisions that will affect their lives, including two key components: (a) A *respect for diversity*, meaning that each individual should be recognized for his or her own abilities, interests, ideas, needs, and cultural identity, and, (b) The development of *critical, socially engaged intelligence*, which enables individuals to understand and participate effectively in the affairs of their community in a collaborative effort to achieve a common good. This seems a far cry from contemporary conceptions of schooling which seem to emphasize cultural uniformity rather than diversity, and to educate dutiful, not critical citizens in this ever-expanding corporate, industrial economy where meritocracy, failing schools, and vouchers are becoming the watchwords under NCLB types of legislation throughout the 50 states.

I must note the pioneering work of an immigrant from Estonia, the late, great Hilda Taba (1932; 1962), who believed that education for democracy was a major element of modern schooling and curricula, and that it needed to be “experiential”, where children learned to solve problems and resolve conflicts together. She was a powerful presence when I heard her speak in San Francisco in 1967. She had a great deal of positive and powerful influence in

curriculum design, teaching, learning and thinking in American education, following her work with Ralph Tyler and the Eight Year Study (Taba, 1936).

My former “boss” at UCLA, John Goodlad (1984; 1997; 2004), has taken up the cause of the common school among other notable topics in one of the most productive careers in education that I have witnessed. His earlier work about public schools emphasized collaboration, non-graded schools, individualization, personalization, school renewal and teacher and leadership preparation. His 1997 book, *In Praise of Education*, defines education as a basic right in democratic societies, essential to developing individual and collective democratic intelligence. It received the “Outstanding Book of The Year” Award from AERA and the “Distinguished book of the Year” from Kappa Delta Pi. Along with Jefferson, Mann, Taba, Dewey, Apple, Giroux, Kohl, and many other educators, Goodlad gives us all a strong experiential and scholarly base for the strong and venerated American value of the “common school”, open and available to all citizens, regardless of their backgrounds.

While an advocate of alternative or magnet schools as a part of our democratic tradition, I am troubled by what I see as emerging elitism and classicism, whereby affluent members of our society think their children should be educated in isolation from all the “others”. For example, In Selma, Alabama where a superior superintendent is leading a strong group of quality schools to excellence, fewer than 1% of the white community take this opportunity to learn with their fellow black students, within the same community, and this story is being replicated throughout the US, and recently reinforced by the recent Supreme Court decision on school desegregation.

In *Education for Everyone*, Goodlad (2004), discusses the need to restore a shared humanity to the education process and the need to: “make caring, compassion, freedom, dignity and responsibility central to the mission of schooling. It is about taking excellence, democracy and faith in people, to do what is right, just and honorable.” Great words, great educator.

Joyce Epstein’s work influenced my thinking about the importance of substantive home, school and community partnerships, well beyond the PTA and helping with homework. Her research at Johns Hopkins is indicating that if student achievement is to improve, and greater equity is to be achieved in schools, then there must be strong and meaningful partnerships in the overall school community (rather than mere “involvement”). She and her colleagues are clearly on the right track with this notion of collaboration of all stakeholders in the education enterprise to achieve greater student accomplishment (1996; 1992).

In thinking about democracy in our schools, the notion of “social justice” fits in here quite appropriately... Kohl, Apple, Kozol, Giroux and others have advocated that justice and equity for all learners in all education settings is a must for a democratic society to thrive. It should be across all grade levels, in all academic settings, and well beyond slogans and the latest “theme of the day”. Dewey was one of the first advocates for it and Counts also advocated a democratically inclusive education model. W.E.B. Du Bois (1935) and Paulo Freire (1971) also taught that teaching is a political act and that educators should focus on creating equity and changing any policies or rule that foster “oppression” in schools or society. Kozol (1991, 2007), Kohl (2000), and Kohn (2000), among others, are heroes of mine on this topic.... their focus on the importance of quality peer and teacher relationships, intrinsic rather than extrinsic rewards, along with acknowledging the dangers of inequity and the powerlessness of poverty, are to be commended for study by future school leaders and our children, if we are not to repeat the errors of the past generation, not to mention past centuries. It is what the “achievement gap” is truly about.

4. QUALITY AND DEEP CURRICULUM

"I never teach my pupils: I only attempt to provide the conditions in which they can learn." Albert Einstein

My first administrative job in education came in 1966 when I became Coordinator of Instructional Services in the office of the Superintendent with the Santa Barbara County Schools.... just barely 28 years old, I had a lot to learn and went to every workshop I could to enhance my knowledge and skills in curriculum. I was fortunate to study at UCLA with the likes of John Goodlad, Louise Tyler, James Popham, Robert Pace, Eva Baker, and Madeline Hunter, along with many other scholars in the area of curriculum and instruction, including Hilda Taba, Art Costa, Fenwick English, and Ned Flanders.

I heard Ralph Tyler (1949), when he was in his 80's. He was (and still is) THE giant in the field of curriculum because of his brain, and of course, his famous syllabus of curriculum and instruction, published in 1949 and, the most famous syllabus of all time!

He thought that all curriculum should stem from four basic principles: a) what are the school's educational purposes? b) What educational experiences will likely attain these purposes? c) How can they be organized? and, d) how can the learning be evaluated? (Lessons learned from his pioneering work on the Eight Year Study between 1933 and 1941.) Tyler thought that meaningful education occurred when there was a change in behavior of the learner rather than mere memorization or regurgitation. He stimulated the subsequent developments of portfolio assessment, behavioral objectives and the disciplined field of education evaluation. Tyler's work showed that school curriculum was not developed or implemented in a vacuum.... it had to pass his three "screens" as he called them: (a) The nature of the learner (interests and needs); (b) The values and aims of society (democracy, values and attitudes); (c) Knowledge of subject matter (what is worthy and usable knowledge and how will we know it has been mastered?). It doesn't get any better than that.... still classic stuff and even more neglected in today's top down education arena, dominated by text book publishers (Durst, 2005), distant policymakers and think-tank scholars.

Scholarship about quality curriculum and learning came from the work of Benjamin Bloom (Bloom et al., 1956; 1972; 1973; 1981). He and his colleagues did great work. Do Cognitive, Affective and Psychomotor Domains ring a bell? Their work in the Cognitive Domain was legendary. Bloom identified six ladders of learning, which all curricula should incorporate.... knowledge; comprehension; application; analysis; synthesis; and, evaluation...remember those? I sure do.... Bloom also saw education as a process to realize human potential and that mastery of each level on the ladder depended more on pace, than race. That is, pace of the learner rather than race through the curriculum. The educated learner had mastered the first three...knowledge, comprehension and application, but it was analysis, synthesis and evaluation that distinguished the true or deep learner...one who could evaluate and synthesize basic ideas and come out with new inventions and approaches. Incidentally most "fill in the bubble" tests only measure the lower rungs on the ladder because it is too costly to examine the higher levels or even performance of the knowledge gained through essays, exhibits or artifacts. The higher rungs on the ladder are exactly what we want students and our school leaders to reach, not just know information, but use it to improve schools and society. I have been impressed with the work of Fenwick English, particularly his emphasis on a deep and well aligned curriculum, again emphasizing depth, over pace and race in learning subject matter content and skills, and ensuring that the

measurements followed the curriculum, a missing ingredient in many of our states today (2003).

5.TERRIFIC TEACHING

“Excellence in education is that magic moment between curious students and an inspired teacher.” Boyer, 1995.

There are many wonderful and thoughtful scholars on this topic. Willard Waller (1932) and Dan Lortie (1975), were early pioneers in helping us understand the complexities and challenges of teaching for greater learning; and, building on their work, scholars like Robert Anderson, Madeline Hunter, Carl Glickman, Bruce Joyce, Judith Warren Little, Ann Lieberman and Linda Darling-Hammond are the “bright lights” for prospective leaders, and our children to study. There is little doubt that teachers must be ably prepared to teach. Goodlad (2004), Sirotnik (2001), and others, have documented these issues. They advocated that educators be developed whose pedagogy nurtures both the learning and well-being of every student, regardless of their background. Teachers must be given the “intellectual freedom” to make important decisions about curriculum and instruction (Durst, 2005). They cannot be treated as “factory operatives” as she observes in describing her stultifying work in a California charter school where she was told what, how and when to teach. She contrasts this with the Dewey Lab School, between 1896 and 1904, where the key was teacher empowerment and decision-making about the “what, how and when”.

Glickman (2004; 2003; 2002; 1997; 1981), also an advocate of democracy in schools, views the nurturing of teachers, continuous professional development, and collaboration with other instructional leaders, as paramount to quality learning. His developmental and differentiated approaches to supervision and instruction are innovative and brilliant in their approaches and work for both seasoned and novice teachers.

Ann Lieberman (2004; 1999; 1988; 1986), a colleague at UCLA, has written extensively on the role of teachers in fostering learning among students and the school community. She has stressed throughout her career, the importance of building “professional” teaching cultures in school communities, leading to the quest for self-improvement and continuous learning by teachers, together as colleagues, along with the importance of teachers playing a major leadership role in school leadership and reform. Her own collaborative work with both the AFT and NEA demonstrated her respected abilities in this area over past years.

Bruce Joyce (2004) has been a favorite of mine in the area of staff development for educators. His thinking and writing have influenced the way I designed staff development for teachers and administrators...following the lines of the engaged and active learners cited earlier.

Linda Darling-Hammond (Darling-Hammond, 1998, February) continues her great work in linking teacher learning to student learning. She states that we presently have the most diverse student body in our history, and skillful teaching is required to reach this new diversity of learners. She suggests that new teachers need to know their subject matter, deeply and flexibly, and see how ideas connect across fields to everyday life. She argues for skillful teachers who can figure out what students know and believe about a topic, and how they might be ‘hooked’ into new ideas. Good teachers know Bloom’s ladders of learning, Dale’s cone of learning, and Gardner’s ideas about multiple intelligence, along with being the kind of “reflective practitioner” Schon argues for in his work. She cites reports on “professional development schools” wherein teachers have learned from each other; been

superbly mentored; solved and posed problems rather than lectured to students; and had longer internships to learn their craft, particularly in coping with what she calls the “rub” between theory and practice. Greater teacher collaboration in schools and classrooms is also advocated, particularly given the classroom isolation so many scholars have cited. Think about our own isolation within university classrooms.... my first speech as an educator was on team teaching back in 1965! I loved it and always valued the chance to work with my colleagues in the classroom, despite the extra work-- I finished my career teaming with Connie Fulmer and Mike Murphy, at UCD along with many dedicated school district leaders.

6. SUPERIOR SCHOOL LEADERSHIP, ESPECIALLY SCHOOL PRINCIPALS

“The leaders new work: building learning organizations.” Peter Senge

During doctoral work at UCLA in the esteemed Anderson School of Business, I learned that both business scholars and practitioners had a lot to say on leadership such as Warren Bennis, Robert Greenleaf, Peter Senge, Chris Argyris, Tom Peters, Douglas McGregor, William Ouchi, and many others, too numerous to name here. They have had considerable influence on my own thinking about leadership...how leaders can transform organizations; can make a difference; can be change agents within organizations; and, how they can rely on the positive attitudes of their staff-- trusting and giving them the freedom to do their work, thus building loyalty and interest in teamwork and in the organization. This is a part of both Theory Y and Z management. (Bennis, 1965; McGregor, 1960); Ouchi, 1981). I tried to emulate that style throughout my career in education and it usually worked although there are always “Theory X” people out there who love to measure life solely by the rule and the square!

Tom Sergiovanni has had great impact on my thinking about schools and leadership, having worked with him off and on for over 20 years (1992; 1994; 1996; 2000; 2005; 2006). He has given much thought and study to the topic of successful leadership in schools, particularly in regard to leadership for learning and sustained school improvement. He, along with Glickman and Goodlad are brilliant synthesizers of information and always attempting to bridge the theory-practice “rub”. He clearly believes that value-added leadership enables students and teachers to be successful, and that effective leaders must be: moral; focused on achievement; culture builders; collaborative; and, focused on continuous learning and school improvement. He talks a great deal in his work about “lifework” which is the essence of hope, and, “systemsworld,” which is the means to achieve hope. Building a community of learners whether they are parents, teachers, or students is paramount in his belief system about superior school leadership. He distains the corporate model of leadership and suggests that we need to design our own theories and practices about leadership that suit the needs and culture of each school. Incidentally, he believes both principal and teacher development is the key to school success and that such leaders must foster the development of a community committed to learning and inquiry. This will take place in faculty meetings, staff development activities, community forums, and the like. He espouses the idea of a school becoming a “community of mind,” with shared ideas, ideals and purposes, with school leaders building extensive relationships with all in the school community. He and his colleague Bob Starratt (Starratt, 1994) have been pioneers in the notion of “moral and ethical leadership” for school leaders and they both note the importance that “heart, head and hand” have in understanding the emotions, values and connections with others in the school community who might have diverse ideas about student learning. Of course many other educators have written

about leaders and leadership... Larry Cuban, Chuck Achilles, Mike Kirst, Roland Barth, Charol Shakeshaft, Martha McCarthy, Pedro Reyes, Lonnie Wagstaff among others. I just happen to have connected with Tom and his work in this area throughout my career, as have my students.

There is little doubt that leadership is under fire from all quarters in this new century of education and you all have an important task to prepare teachers well to meet these challenges to public education. Effective school principals and superintendents are essential to the creation of effective, quality, schools where a positive school culture, climate and learning environment will thrive. Dick Andrews and Roger Soder demonstrated this in their fine work 20 years ago, relating principal leadership and student achievement (Andrews & Soder, 1987).

The recent work of my colleagues at the University of Colorado (Bellamy, Fulmer, Murphy & Muth, 2006), on Principal Accomplishments, takes into account the historical efforts to connect school leadership and student learning. It builds on efforts which I described earlier to design schools and preparation programs with concepts such as: shared leadership, fostering collaboration, modeling practices to build trust and commitment, inspiring shared goals and taking risks and learning from mistakes. It takes a human and honest approach to school leadership and effectiveness, and one that engages the whole school community. My former mentor Jacob Getzels from the University of Chicago would see this book in keeping with his theme of education administration as a “social” process (Getzels, 1968). He sure helped me in my first presentation at AERA in New York back in the 1970s’.

Let’s also not forget the wonderful contributions of Robert Greenleaf who sees leadership as serving others and adding value to their lives (Greenleaf, (2002). He cites Leo, the central character in Hesse’s *Journey to the East*, as a good example of this type of leader. (Leo accompanies a party on a mythical journey...assisting them with menial chores but uplifting them with his spirit and song; a person of extraordinary presence...much like we expect of our own leaders. When Leo leaves, he is wiser and stronger, yet the group falls apart!) Greenleaf suggests that leaders must thus help others grow as persons, and while being served and serving, become healthier, wiser, freer, more autonomous, and more likely themselves, to become servants! He believed that institutions should serve people, not vice versa. Certainly a powerful set of ideas for us to ponder as think about our own children and students as they grow and develop as fully functioning human beings.

7. POSITIVE SCHOOL CULTURE AND CLIMATE

“The school is a despotism in a state of perilous equilibrium.” (Waller, 1932).

“An academically effective school is distinguished by its culture: a structure, process and climate of values and norms that channel staff and student in the direction of successful learning” (Purkey & Smith, 1982).

That first quote was by Willard Waller in 1932. How depressing! I wonder how current it might be in today’s schools? I have seen both types described above during my 42 years in education. But for much of my professional career I have worked on researching, examining and building effective schools and positive cultures and climates, following in the tradition of Purkey & Smith and others. (Martin, Howard & Colia, 2004).

Boyer (1966) believed that an effective school provides a climate for learning that is active and creative, rather than passive and restrictive. That first stimulated my interest in the

topic and subsequently led to my dissertation on that topic in relation to student success, principal leadership and school culture and climate.

As far as climate is concerned, I began to read the work of Brookover, Rutter, Edmonds, Fox, Steinhof and others to learn more about this seemingly “soft” side of schools and learning. Relative to culture, I studied the work of Argyris, Sarason, Keefe, Howard, Schein, Kanter, Deal and many others. So despite my 30 year running-dialogue with Carl Steinhof at the University of Nevada, Las Vegas, I am convinced that the two are different: “*culture*” is the shared values, beliefs, and norms of a school or organization that govern both its behavior and attitudes. Or simply put, “the way things are done around here.” “*Climate*” on the other hand, is the reaction and perception an individual or group may have to the existing culture of the school. Getzels describes this as the tension between the nomothetic and the idiographic... remember that one? Or, put simply, the individual-organization conflicts that are inherent in schools (Argyris, 1964; Getzels, Campbell, & Lipham, 1968).

Culture and climate are quite different, but both are significantly related to school or organizational effectiveness (Martin, Howard & Colia, 2004; Colia, 2001; Brookover, 1978, 1979, 1982; Purkey & Smith, 1982; Rutter, 1979; Edmonds, 1979; Keefe & Howard, 1997; Goodlad, 1984; Sarason, 1971). School leaders must regularly examine and modify the culture if effectiveness is to be improved. This includes reviewing the effectiveness of rituals, taboos, myths, ceremonies, traditions, games, laws, rules, symbols, celebrations, etc. that may interfere with success of a quality school. Surveys, observations and interviews must be a regular part of the data collection process to ensure that no barriers exist to student learning and the development of a quality school. For example, NASSP has a process that leaders can use to examine culture and climate and I count as heroes Jim Keefe and Gene Howard (1997, 1991) for their leading-edge approaches in this area. Edward Brainard and Robert Fox pioneered some fine work in school climate improvement (1973). Another superb handbook for conducting school climate improvement projects was written for schools and leaders to collaborate on effective strategies to change the climate of the school (Howard, Howell & Brainard, 1987).

8. SCHOOL RENEWAL AND IMPROVEMENT

“The schools of tomorrow should be allowed to develop more valid ways of judging educational excellence. The expected student outcomes should include such skills as competence in self-directed learning, mastery of oral communication, interpersonal relations, and intercultural maturity” (J. Lloyd Trump, 1969).

“Above all, let them remember that the meaning of life is to build a life as if it were a work of art. In the end, the Basic School is committed to building lives as if they were works of art.” (Ernest Boyer, 1995, NAES).

I think the works of Boyer, Trump, Brown, Rutter, Edmonds, Brookover, Lieberman, Darling-Hammond and of course, Goodlad and associates, have strongly influenced my thinking in this area.

I first encountered Boyer, a pioneer in school renewal, when in Santa Barbara. He gave me my first consulting job...school renewal in a Santa Maria elementary school. He believed that the “challenge to school renewal cuts across all social and economic sectors. What was needed was a new vision of education, a comprehensive plan that makes available to every

child, school practices that work.... this is what he called the “basic school,” a place where the basic virtues are taught by word and deed, and that the circle of community extends outward to embrace parents, who are the child’s first and most important teachers. He thought that the Basic School is committed to building lives as if they were works of art. (Incidentally, his brilliant career extended to higher education and his work on “Scholarship Reconsidered” should be mandatory reading for all higher education leaders and professors aiming to get their work with schools better recognized in the academy.) (Boyer, 1991).

Boyer thought there were four basic attributes of a quality education, which are essential building blocks: (a) *A true community of learning*...it must be purposeful, have a clear and vital mission; be a communicative place where people care and listen to each other; a just place where everyone is treated fairly; a caring place where students feel secure, and, a celebrative place with ceremonies and other times when everyone in the school comes together; (b). *A curriculum with coherence*, which begins with proficiency in language, which is central to all learning, and rather than TEACH language, to build on what is already there with children.... including speaking, writing, listening and reading...those skills the Conference Board Report described earlier, including a wide variety of assessments of learning stemming from a deep and rich curriculum; (c). *A climate for learning* which is both active and creative, not passive and restrictive; and, (d) *A commitment to character* where classroom lessons are related to the ethical and moral lives of students. These include many elements also identified earlier by the Conference Board report: integrity, respect for others, responsibility, compassion, self-discipline, perseverance, and giving to others through an act of service. (1995).

That says it all for me. He was a genius in conceptualizing education issues.

9. RESPONSIBLE ACCOUNTABILITY

Time to put my money where my mouth is...based on all the “lessons” I have learned and shared with you in this article. Taken together they give us many hints for a new form of accountability that is comprehensive, thorough, and based on sound principles of learning. This is my summary on what you can do tomorrow in your preparation program for future school leaders, not to mention helping our children and grandchildren live fuller, successful and richer lives:

Learning

Develop measures for a quality school, which cut across all levels of learning from knowledge to Evaluation.... Bloom

Provide for multiple assessments of learning...don’t get stabbed by the single measure of a test score on an imperfect test... Tyler

Design a school portfolio, which demonstrates the wide variety of learning, which occurs in schools daily.... Martin, Damon & Goodloe

Intelligence

Measure individual rather than grade-level growth over time, and based on the concept of multiple intelligences. ... Gardner

Rethink and redirect your attention to both “emotional and social intelligence” in your schools and preparation programs... Goleman

Common and Democratic School

Ensure that all public schools remain democratic and ‘common’ to all... Mann and Goodlad

Create more small classes and schools.... Achilles

Quality and Deep Curriculum

Have a curriculum, which is purposeful.... Tyler

Create a quality and deep curriculum.... English, Bloom

Design learning activities, which are engaging, challenging, active, and related to the learner.... Dewey

Terrific Teaching

Design engaging and purposeful staff development programs...Vygotsky, Joyce and Darling-Hammond

Have a differentiated reward structure for teachers and leaders which is based on learning rather than single-shot test score results...Boyer

Use a developmental model of teacher supervision...Glickman and Hunter

Superior school Leadership, particularly from Principals

Maintain high standards for the preparation of educators.... ISLLC and NCATE

Implement the curricular ideas of Bloom, Tyler, Joyce, Lieberman, and Goodlad in your preparation programs

School Renewal and Improvement

Foster greater community and school collaboration.... Epstein

Follow the substantive and systematic, yet collaborative change process...Fullan

Promote continuous self and school renewal...Sergiovanni, Lieberman, Goodlad

Positive School Climate and Culture

Have a “caring and happy” place to learn...Noddings, Boyer

Cultivate a positive school culture and climate...Keefe, Brainard & Howard; Colia, Schon, Steinhof

Promote cultural pluralism and diversity in school curricula, instruction and schools...Greene, Reyes, Carver, Freire.

There you have it...my best reflections about education and learning...but remember the advice of Robert Fulghum:

“All I really need to know about how to live and what to do and how to be, I learned in kindergarten. Remember the Dick-and-Jane books, and the first word you learned—the biggest word of all—look.”

So take a *look* around and heed the words of Horace Mann: “win a few victories for humanity”.

Thanks so much for listening, and learning!

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The Crowd in the Principal's Office: Strengthening a Collaborative Profession for Contentious Times

G. Thomas Bellamy

Harry Wolcott (1973) completed his classic ethnography of the principalship almost 40 years ago. Despite his remark at the time that the principal's job was structured by "having to constantly meet the expectations of a multitude of others" (p. 318), one suspects that Wolcott's "man in the principal's office" would be quite surprised at just whose expectations count today and how much more crowded the office has become. Already used to sharing leadership with teachers (Smylie & Hart, 1999), principals now find that other decision makers have crowded into the front office—from family members and local officials to state legislators, chambers of commerce, university researchers, teacher educators, school board members, and union officials. Their demands and questions have broadened the stakes for education and imply new ways of thinking about principal practice. These in turn invite speculation about new strategies for university programs to strengthen the school-leadership profession to more reliably fulfill the public purposes of schooling.

This paper offers and explores some new, unconventional, strategies for university-based leadership programs. Specifically, the paper builds on conceptions of principal practice that Colorado colleagues and I have been developing to suggest how typical efforts to strengthen the profession might be extended in response to current participation in school leadership decisions.

PARTICIPATION AND CONFLICT

Principals and their schools succeed only when enough coherence emerges from the community's varied expectations, and this requires far more than the public relations and professional persuasion that seemed to work as Wolcott's principal interacted with the community. Dealing with conflict about education has always been a part of school leadership (Tyack, 1974), but the current manifestation of this historical reality assumes its own unique character. Although perhaps overused as metaphors for change, global economic integration and changes in information technologies provide a useful way of thinking about today's challenge. For policymakers, international competition in an information-based economy has thrust education to the forefront as a means of ensuring national competitive advantage. Policymakers from across the political spectrum have responded with a press for educational productivity through content standards, regular testing, and school sanctions (Karoely, & Panis, 2004).

Now-familiar advice to focus more on instruction and align school experiences with the content to be tested will probably help principals meet these policymakers' expectations for learning (Elmore, 2000). But annual tests address only a fraction of what various groups want from schools, so broad participation in school leadership decisions makes it unlikely that prin-

cipals will succeed simply by giving more attention to technical aspects of instruction. For example, many families are concerned that today's easy access to information on the Internet limits parental influence on their children's cultural and religious beliefs. Not surprisingly, they want schools that support, or at least do not counteract, the family's enculturation efforts. Other families see world-wide competition for jobs as a threat to their children's standard of living, and they pressure schools to create special programs and credentials that give some students future competitive advantages. Still other families, particularly those with limited resources, depend on the schools for basic education and child care and expect that these services will be provided with sensitivity to cultural, linguistic, and economic differences. National dialog about school quality mirrors and encourages these local conflicts. Various policymakers, think tanks, and professional organizations promote quite different visions of school quality and frequently encourage their local allies to avoid any compromise. The school office is contentious as well as crowded.

Intensified conflicts come just as public policies have given families more ways to express dissatisfaction with their schools. Those who disagree with current practices can exit through charters and vouchers, influence volatile tax and bond elections, participate in powerful school governance groups, and appeal to elected officials outside the school system to intervene. If too many dissatisfied families opt out, resources quickly become insufficient for high-quality schools. If they stay involved and advocate for change, there is a real possibility that even the most promising leadership interventions will be brief, lasting only until a new issue or group gains the spotlight.

IMPLICATIONS FOR THE EDUCATIONAL-LEADERSHIP PROFESSION

Heightened participation and intensifying conflict complicate principals' jobs, but the task of responding is not theirs alone. The entire profession shares both the risk of failure and the responsibility for success. Successful professional work depends on an institutional infrastructure of university preparation, state licensing, and norms that are supported by professional organizations, and these, in turn, depend on an implicit agreement between the profession and the public. "Worked out gradually in statute and custom," (Sullivan, 2005, p. 3) this agreement essentially promises that the profession will apply expertise and commitment to public values in finding solutions to human problems that would be addressed less reliably through a free market. In exchange, the profession is given some protection from competition through licensing and some independence in practice. As both educators and economists have noted, granting professional status to any field limits others' freedom and adds costs to the service in question. For example, requirements for state licensing limit both who can apply for principal positions and the choice of candidates available to employers. In a democracy that values both individual liberty and efficiency in public services, such limits must be justified and accepted by policymakers (Bull, 1990; Cox & Foster, 1990).

The university's role in this professional equation is critical, if not usually the visible headlines of public debate. Like professionals themselves, university preparation programs enjoy a measure of protection from competitors and, in exchange, are responsible for developing knowledge for practice, educating new practitioners, and stewarding the implied contract between the profession and public that underlies professional practice. These responsibilities are daunting today, because the participation and conflict affecting principals also work in opposition to traditional views about how universities support a trajectory toward full professional status (Starr, 1982). These trends reduce the autonomy that education professionals have with respect to both employers (policymakers) and clients (families and

students). They highlight disagreements about purpose, making it more difficult for the school-leadership profession to show that it works in the public interest. And they threaten the influence of the profession by practically ensuring that, no matter what improvements are implemented, some powerful groups will remain dissatisfied enough to attack the profession's ability to produce needed results.

Education leadership shares these challenges with many other professions. For a variety of reasons, the public seems less confident today that professionals work in the public's interest or reliably achieve goals that the public values. This eroding public trust means that practitioners increasingly lack the influence and autonomy they need to succeed. Not surprisingly, the institutional structures of the profession—university preparation, licensure, and professional associations—are threatened as well. It thus seems clear that in order to sustain professional status, our field's contract with the public begs renewal, with a commensurate new foundation of reliability and purpose to earn public trust (Sullivan, 2005).

As long-standing efforts in school leadership attest, one familiar response to the prospect of declining profession influence has been to intensify efforts to strengthen and communicate the field's knowledge base (Hoy, 1994; National Council of Professors of Educational Administration, 2004; Thompson, 1993). Along with other professions, efforts in education leadership have been guided by historical public values of rationality, science, and efficiency, so that a stronger knowledge base has meant greater professional legitimacy and influence (Kimball, 1992). In essence, our collective efforts assume that if the knowledge in educational administration provides practical guidance for school leaders and if our preparation programs are successful in helping new principals learn what they need to know, then public confidence could sustain the professional status that we believe is important to successful school leadership (Forsyth, 1999). This focus on a professional knowledge base is not without important criticism. Scheurich (1995) and Donmoyer (1999), for example, noted that knowledge is incomplete, disconnected from practice, biased by methodology, and necessarily privileges some kinds of content over others. The concern that specifying a knowledge base could lead to unwarranted standardization in preparation programs still echoes today (English, 2003). Nevertheless, widespread discussion of what knowledge is important for school leadership and how that knowledge should be organized and taught does underscore our field's general commitment to strengthening the field's knowledge in order to legitimate professional influence (Forsyth & Tallerico, 1993; Mitchell, 2006; Murphy, 2002).

A second response to declining professional influence has been to clarify the values that underlie professional practice. As concern has grown that the goals of practice are left implicit in the development and application of technical knowledge, efforts to define a set of values that could give direction to professional practice have intensified. In Sullivan's (2005) formulation of the professional-public contract, articulation of these values is a critical part of any profession's effort to reconnect its practice to public values and ensure greater integrity in pursuit of those values. The education-leadership literature now hosts a stimulating dialog about underlying ethical dimensions of school leadership (Goodlad & McMannon, 1997; Starratt, 2003) and specific values that should guide leadership practice (Cameron-McCabe, 1999; Larson & Murtadha, 2002; Lindsey, Robbins, & Terrell, 1999; Riehl, 2000).

The crowd in the modern school office adds new dimensions to both knowledge-based and values-based strategies for strengthening the profession. My exploration of these possibilities builds on a particular perspective on principal practice, so I provide a brief overview of that understanding before proceeding. Using this understanding as both reference and context, I then explore ideas that move us outside comfortable institutional boundaries

and suggest new strategies for enhancing the profession that are better adapted to the multiple and diverse demands in today's crowded office.

AN INTEGRATED MODEL OF KNOWLEDGE, PRACTICE, & VALUES

The crowd in the modern school office necessitates adding new dimensions to both knowledge-based and values-based strategies for strengthening the profession. Together with Colorado colleagues, I have worked for several years to frame new ways of thinking about the principalship that could guide decision-making in practice. Our exploration of possibilities has led to a particular conceptualization of principal practice, one that begins with the view that schools are both adaptive and instrumental organizations. This conceptualization incorporates an eclectic knowledge base and renewed consideration of the values shaping knowledge and practice (Bellamy, Fulmer, Murphy, & Muth, 2006; O'Rourke, Provenzano, Bellamy, & Ballek, 2007). Principals succeed by getting learning results for students *and* creating schools that respond to community values, and they do this through stewardship for important school conditions.

REACHING GOALS THROUGH NINE SCHOOL CONDITIONS

To lead schools that reach these dual goals of student learning and school character, principals are responsible for stewarding nine critical school conditions. (See Figure 1.) We call these conditions "accomplishments" to emphasize that they are positive results achieved by the school, not just not circumstances imposed by others. Four of these accomplishments define the learning environment, influencing student learning and school character by the kind of student effort they support: learning goals defined, instruction provided, student climate sustained, and related services provided. Four other accomplishments create the environment for teaching as they influence the level and focus of professional effort: resources mobilized, operations supported, staff climate sustained, and school renewal supported. The ninth accomplishment, family and community partnership sustained, influences both the learning and teaching environments when the schools activities stimulate family involvement in the school and family support for student effort at home.

On the surface, our list of accomplishments is not unlike other efforts to identify systemic components of school work and principals' responsibilities (Knapp & McLaughlin, 2003; Leithwood & Montgomery, 1986; Levine & Lezotte, 1990). We have defined the elements in a particular way, however, in order to emphasize the breadth of a principal's responsibilities. Each of the nine accomplishments is a school condition over which the school has some influence, and each is the continually evolving result as the school implements important organizational processes.

Each accomplishment serves a dual function. Each is a *means* through which student learning is promoted; research has linked variability in each of the nine to differences in student learning (Bellamy et al., 2006). Each accomplishment is also an *end* in itself, as it combines with other conditions to make up the school's character. This second feature of accomplishments is important, because families care about the school conditions that their children experience, and pressures for distinctive school cultures differ from one community to another. So, while some quality features for each of the nine accomplishments can be established through research (e.g., what kind of school climate is most likely to result in student effort?), many other quality features must be determined locally, chosen to reflect a working balance of what various members of the community want their school to be like

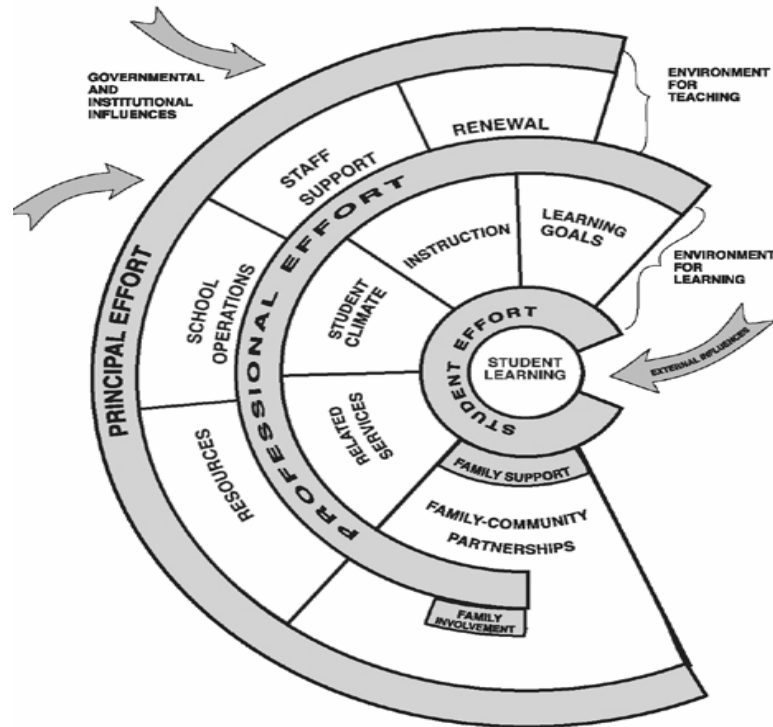


Figure 1: *The Framework for School Leadership Accomplishments* (Adapted from Bellamy, 1999; Copyright G.T. Bellamy, 1997. Used with Permission).

(open vs. closed campuses, many curriculum options vs. common experiences for all; teaching that involves much or little homework, and so on). This means that school leadership involves more than technical work to reach desired criteria defined elsewhere, whether by research or policy. It is also a task of civic leadership that involves actively understanding and leading a community as it comes to working agreements about desired school goals and conditions.

STEWARDED SCHOOL CONDITIONS THROUGH FOUR LEADERSHIP DOMAINS

To highlight this expanded school leadership role, we conceptualize the principal's responsibility to steward school conditions as four domains of leadership, concerned with effective action, sustainable goals, strategic focus, and social capital. Figure 2 illustrates how the four domains are intertwined throughout each school year.

Leadership for effective action occurs as principals select from a large number of developing situations which ones to address and then decide how to act in order to achieve desired solutions (Immegart & Boyd, 1979). While rapidly developing circumstances in schools can make the principalship feel like a rush of disconnected episodes (Barth, 1990), our view emphasizes that daily action is always in pursuit of school conditions that satisfy locally defined success criteria. The other three domains of school leadership set the stage for effective action and affect school outcomes through their influence on which issues principals select for attention and what they consider to be successful outcomes from these interventions.

Leadership for sustainable goals engages the principal in understanding a community's various expectations for its school, leading conversations to develop working agreements about priorities, and translating those priorities into appropriate criteria for school accomplishments. By listening carefully and starting important conversations, a principal can learn about the relative importance a community gives to orderliness, personal appearance, school events, healthy meals, special credentials, sensitive subjects, and so on. Leadership for strategic goals helps set the stage for effective action when school leaders use their understanding of community priorities to clearly define the success criteria they want each of the nine school accomplishments to satisfy.

Leadership for strategic focus involves assessing a school's current performance in relation to both learning outcomes and school character, identifying gaps, and deciding which school conditions, if improved, would be most likely to improve results. The description of principals as "master diagnosticians" by Portin, Schneider, DeArmond, and Gundlach (2003) provides a good starting point for understanding this leadership domain. In our conceptualization, school leaders use information about local priorities and learning gaps to select one or more school accomplishments for change. This, in turn, provides both focus for improvement efforts and a "watch list" for problem finding during the year.

Leadership for social capital occurs as principals seek to influence the interactions among members of the school community, so that they work together to reach collective decisions and take collaborative action. A community's capacity for collaboration can be enhanced, for example, when principals personally bridge communication among groups, establish schedules and work structures that foster collaboration, lead conversations about norms for the school community, and personally model the espoused norms and commitments (Halverson, 2003; Smylie & Hart, 1999). Leadership for social capital adds a social dimension to the daily work of effective action—will the principal's action increase communication and trust among members of the school community as well as achieving other desired results?

POSSIBILITIES FOR THE PROFESSION

While our writing about principals' work focuses primarily on practice, it also points to possibilities for the profession as a whole. In previous work we have suggested how new perspectives on knowledge and values could strengthen the school leadership profession (Bellamy et al., 2006; 2007).

Organizing professional knowledge. Following Bruner's (1986) distinction between narrative and analytic ways of thinking, we have used this conceptualization of principals' work to recommend two complementary methods for structuring professional knowledge. First, the nine accomplishments offer a framework for organizing analytic knowledge around two questions: (a) what considerations inform the definition of quality for each accomplishment? and (b) what strategies appear useful as schools work to realize each accomplishment? Knowledge that contributes to answering these two questions is broadly eclectic and comes from legal, ethical, and critical reasoning, social science research, and craft knowledge (Bellamy et al., 2006).

Our second recommendation for structuring professional knowledge focuses on narratives of practice and emphasizes how the four leadership domains interact over the course of a school year. We have suggested "annual cases" of school leadership as a strategy for developing, organizing, and sharing craft knowledge in the principalship (Muth, Bellamy, Fulmer, & Murphy, 2004). These annual cases provide a picture of a school year, largely in

the principal's own voice, from the planning activities prior to the year, through the critical start-up phase, during the year, and afterwards, as the principal reflects on accomplishments and future challenges.

A perspective on professional values. Our conception of principal practice as work toward high-quality school conditions highlights the values that are used to define such quality and provides a direct link between these values and practice. As principals define criteria for optimal school conditions and then strive to achieve them, values become central to the process of choosing problems for attention and deciding what constitutes successful resolution of those problems (Robinson, 1996). In addition, we emphasize that these quality features are always open for public discussion. They are not defined by professionals alone, but are developed through constant interaction within and among policymakers, professionals, and local publics. Principals and other professionals can influence the expectations that result from these interactions, but they are not in control. This reinforces the importance of preparation for dialog about school goals and values, not simply articulation of a personal or professional position.

TOWARD NEW STRATEGIES FOR ENHANCING THE PROFESSION

Taken together, these earlier recommendations address several critical issues inherent in ongoing efforts to strengthen the school-leadership profession. They offer a way to organize professional knowledge around challenges of practice and to incorporate an epistemologically diverse knowledge base in service of practice. Further, these recommendations deliberately include craft knowledge and a structure for its communication. And, they provide a perspective on how ethical, critical, and legal reasoning can be integrated with procedural strategies as principals tackle their daily responsibilities.

While these and related possibilities still seem useful, they also appear insufficient in light of Sullivan's (2005) challenge to renew the field's contract with the public that provides legitimacy for professional practice. Legitimacy is weakening along with public confidence that the profession can achieve reliable results as school situations become more complex. More importantly in Sullivan's view, the public's trust that professionals are acting in accordance with public values has declined, with a resulting challenge to clarify exactly what connects their practice to the public's interest and how professional norms and institutions ensure integrity of these purposes. Responding to Sullivan's challenge will require a willingness to consider less conventional strategies as well as continuation of familiar efforts to strengthen the profession.

My purpose in the remainder of the paper is to suggest three approaches for consideration as education administration strives to enhance professional influence in the midst of a crowded and contentious school office. Each departs from conventional assumptions about the trajectory toward a modern professional ideal (Etzioni, 1969; Kimball, 1992). But, as Yinger (2005) noted in a similar discussion of professionalism in teacher education, the risks associated with new directions seem warranted as our field seeks to restore the public's trust that educators are working effectively, reliably, and in the public's interest. The first two suggestions involve ways that the professional-public contract might be reframed for school leadership, and the third addresses related issues affecting the structure of principal-education programs.

ESTABLISH CIVIC COLLABORATION AS A CENTRAL NORM OF PROFESSIONAL PRACTICE

School leaders cannot succeed without public trust—trust that the school is organized to achieve the public’s goals and trust that school practices conform to strongly held values. For individual principals, operating schools in ways that support learning for all students typically requires more authority and influence than educators can exercise on their own. Unless parents trust school leaders enough to join with them to ensure that homework is completed, school rules are followed, and attendance is maintained, even the best school practices are unlikely to be sufficient. Public trust is also needed to give principals enough autonomy to act in ways that are not always popular. Unless the public gives some authority to principals, such as supporting teachers’ grades, disciplining students, and eliminating unsafe practices, schools cannot operate. The licensing and university preparation that characterize professional work also require public trust, since these depend on continued support for related public policies.

Traditionally, cultivating the public trust needed for professional practice has meant demonstrating that practice was guided by values and ethical commitments that are shared across the profession. By deliberating about these values within the profession and adopting ethical standards, professional groups have provided assurance that practice is responsive to public values. Public trust then sets the foundation for autonomy in professional practice, which figures prominently in typical conceptions of professionalism (Halliday, 1985; Haskell, 1984). Autonomy with respect to clients occurs as trust in professional commitments leads to a certain deference to professional judgment. Autonomy with regard to employers ensures that practice is buffered somewhat from political or organizational considerations (Bledstein, 1978).

But public trust has declined. Lacking confidence that professional commitments serve public interests, society is also less willing to grant the usual autonomy to professional work. In response, professions from architecture to medicine have begun to shift away from a vision of practice guided by general professional ethics to one that gives individual clients a greater voice in deciding the goals and values that guide practice (Designer Secrets, 2006; Irvine, 1999).

Even this client-centered approach to restoring public trust presents difficulties for school leaders, because public education’s “clients” include individual students and their families as well as the larger community. While all families want their children to learn at high levels, families with different circumstances frequently want quite different things from their schools, and their interests often conflict with those of local businesses, universities, and religious organizations. In communities as diverse as ours, one group’s priority is all too often another’s crisis, and this makes it particularly difficult for the school-leadership profession to demonstrate its responsiveness to public values.

In particular, this diversity of public views about educational goals and values casts doubt on the ability of the school-leadership profession to restore public confidence by espousing any general set of professional values to guide practice. On the contrary, educators risk losing public trust anytime they make value-laden decisions about school goals on their own. No matter how well reasoned, proposals for universally applicable values to guide school leadership are likely to prompt divisive attacks rather than foster public confidence. Gelernter (2007), for example, sees such a liberal bias in public schools today that he characterizes their teaching as an effort to “contradict and correct the religious and moral instructions that parents give their children” (p. 7).

If the trust needed to support professional influence is unlikely to come from a broadly accepted set of professional values, what are the alternatives? A useful strategy is implied in several recent recommendations within the educational-leadership field. Bull and McCarthy (1995) and Gutmann (2000), for example, argue that ethical action requires school leaders to engage families and the larger community in civic deliberations about alternative approaches and to respect the results of those deliberation. Furman and Starratt (2002) offered a conceptual foundation for this orientation in their analysis of democratic community as a core organizing principle for schools, and Mathews (2005) took the argument a step further by arguing for the public to take responsibility for establishing goals for schools as public institutions.

Of course, even a commitment to using democratic processes for important decisions engenders some questions; as a people we disagree about both the values that should guide education and those that should guide civic dialog (Stone, 1997; Strike, 1999). Nevertheless, a professional commitment to making important decisions through democratic dialog appears to offer the most promising strategy for renewing the public's trust that school leadership is designed to achieve publicly valued goals. In this approach school leaders share responsibility with other public managers to serve as trusted facilitators of local democratic processes (Nalbandian, 1999), not just as persuasive advocates of professionally sanctioned goals and values (Halliday, 1985; Soder, 2001).

Implications for university programs. As we consider reliable civic collaboration rather than generally applied ethical principles as the foundation for public trust in the goals of school leadership, two challenges emerge for the profession's university arm. The first is systematic preparation for principals to lead civic deliberations as a complement to the way we address ethical and critical issues. Most current preparation programs include an emphasis on helping candidates clarify the values that they bring to the principalship (Lee, 2001; Muth, Murphy, Martin, & Sanders, 1996), apply general ethical principles (Hodgkinson, 1991; Shapiro & Stefkovich, 2001), recognize values that are implicit in normal operations of schools (Ryan, 1999), and assess the moral dimensions of particular situations and actions (Willower & Licata, 1997). The shift may be only subtle in some programs, but reaching decisions about school priorities through collaborative dialog involves transferring at least a part of the responsibility for many ethical and critical decisions from the profession to the public. In order to lead these civic discussions, school leaders need a broad understanding of the many value positions that are likely to be present in a community and how these might be reflected in advocacy for different school conditions.

To illustrate with the conceptual frameworks outlined above, the quality features of each school accomplishment are defined in part by each community's expectations and values about schooling. Consequently, in order to describe what constitutes successful school conditions, a principal needs broad knowledge of competing public and private purposes of education and accurate understanding of local values and conflicts. This is possible only when the principal engages in conversations that help the community include as many value perspectives as possible, confronts value conflicts productively, and develops a commitment to act on those values (Chrislip, 2002; Heifetz, 1994). This kind of engagement with community values also requires preparation to lead civic discussions, using skills in identifying communities of interest, assessing the extent of agreement, estimating the capacity for change, identifying leverage points for addressing an issue, and creating opportunities for democratic deliberation about school decisions (Chrislip & Larsen, 1994; Furman & Starratt, 2002).

The second challenge that civic engagement poses for university programs is to organize professional knowledge for public use. If school quality depends in part on the goals and priorities that are set through civic dialog, then the knowledge that participants bring to this dialog is important. Organizing knowledge for collaboration means highlighting and informing the issues around which discussions are likely. Public dialog about school leadership is seldom about technical matters for which “objective” research or academic theories provide easy answers. Instead, civic and moral questions dominate the discussion in the crowded school office: which groups of children should get special attention, what to teach (or not teach) in sex education, how to address language and cultural differences, and what kinds of behavior should be expected. Professional knowledge can support local civic dialog about such matters by clarifying what is at stake in school leadership decisions and helping participants understand how they can contribute to the educational goals they value.

The organization of knowledge in medicine provides a useful example. As Hills (1978) noted, medical knowledge is organized around organ systems and diseases, illustrating why each is important and the consequences of their malfunctions, as well as practices for their treatment. Public trust in the knowledge base is not just a matter of believing that problems within these systems can be reliably solved—in fact, we know that medical knowledge is incomplete and uncertain (Riehl, 2006). But organization of medical knowledge does help patients understand how to participate in maintaining their own health, insurers predict likely health risks, and elected officials evaluate alternative prevention policies.

Education is similar, in that many different groups could benefit from a clear framing of the primary responsibilities of school leaders and the possible consequences of different ways of addressing these responsibilities. How we frame these issues is important, as Heifetz (1994) demonstrates in his discussion of adaptive work. If any single value or viewpoint is imbedded in the way we frame school-leadership responsibilities, we limit participation in the conversation and risk uncertain foundations for the work that school leaders build on the decisions that a community reaches. For example, a discussion about, “What kind of climate do we want students to experience in our school and what are the consequences of various alternatives?” could engage broad participation, while framing the issue as “How can we reduce competitiveness in the school?” might eliminate from the discussion those who are committed to gaining special credentials needed for admission to selective colleges. By avoiding imbedded values, we can frame responsibility categories in ways that facilitate and inform open dialog about the mix of values that a community uses to define quality in these responsibilities.

The recommendation that colleagues and I made to use school conditions to organize the profession’s analytic knowledge offers one possible approach. In our framework, successful school leadership involves stewardship for the nine school conditions illustrated in Figure 1. Because each of the nine is defined without specifying quality criteria, they can serve to organize information about competing notions of quality and support broad participation in discussions of what is desired. Knowledge about these conditions and the characteristics that make them useful in achieving various kinds of results can help all participants in school discussions. Each of the nine accomplishments also has practical significance for the profession’s critical collaborators. Parents and policymakers understand the importance of learning goals, instruction, climate, school resources, and so on, and they make decisions in their families and political institutions that relate to similar issues. Just as the organization of medical knowledge around diseases and organ systems makes intuitive sense to the public, so might organization of educational administration knowledge around school conditions increase public trust, access, and use.

FRAME SUCCESSFUL PRACTICE AS A LOCAL CONSTRUCTION

Another ideal underlying conventional views of professional practice, and certainly the one motivating much current federal investment (U.S. Department of Education, 2007), involves relying on research-based practices that can be applied in practical situations. In this view, the quality of the research that links practices to results provides the primary basis for public confidence that the profession can reliably achieve important goals. Although such positivist assumptions have been broadly criticized in academic literature, Donmoyer (1995) notes that they nevertheless provide the dominant logic for many efforts to strengthen the professional status of school leaders. Critics of the field rely on the same logic: Unless we can demonstrate that our knowledge base contains research-based practices that have broad applicability, they see no rationale for a professional infrastructure in the field, including requirements for certification, university preparation, and ongoing professional development (Hess, 2003).

Although uncertainties always accompany application of professional knowledge (Kennedy, 1987), school leadership seems particularly challenged by differences in the contexts of practice, with corresponding limitations for research-based practices. Uncertainties of school leadership result, on the one hand, from differences among school situations, and on the other, from current expectations for near-universal proficiency. Local variability arises because different priorities and constraints emerge from the civic process of setting goals and because each school presents a unique and ever-changing blend of student backgrounds, teacher abilities, school resources, and community connections. The expectation for universal learning adds to these uncertainties, because even the most thoroughly researched practices succeed with only some students. None has demonstrated the level of reliability that principals are now expected to show in student learning (Bellamy, Crawford, Huber-Marshall, & Coulter, 2005). Consequently, even when research invites adoption of programs developed elsewhere, principals still need to construct local practices that serve students who do not succeed as planned.

Whether one interprets these uncertainties of practice as necessary in a socially constructed organization (Littrell & Foster, 1995) or as inevitable because research simply cannot address all the complex interactions among variables that are present in schools (Lindblom & Cohen, 1979), the consequences are similar. Knowledge in school leadership provides few prescriptions that work uniformly or systematically across communities. There are indeed practices that have been effective in some communities and principles that have proven to be useful guides for practice under some conditions, but, as many critics have noted, evidence to support application is weak or missing. Even our best research-based programs do not come with guarantees.

If our professional knowledge provides so few prescriptions for practice, then principals must construct successful school leadership on location. And, if successful school leadership depends on local construction rather than knowledge-based prescriptions, then the profession must find new ways to ensure that practice will reliably solve the problems for which school leadership is responsible. This means renewing our profession's implicit contract with the public to emphasize that reliability can come from strategies other than prescriptive programs.

One way to achieve reliable results in the face of uncertainty is suggested by organizations that operate in high risk areas, where failures make headlines. Studies of organizations that succeed with these expectations for extremely high reliability emphasize the importance of understanding and responding to local circumstances more than the implementation of prescribed procedures (Roberts, 1990). Noting that standardized procedures often fail when

confronted with unexpected situations, this approach focuses instead on achieving reliability through strategies that increase mindfulness and resilience: stimulating development of a variety of alternative responses to challenging situations, resilient engagement with local circumstances as they develop, responding rapidly to problems and anomalies, monitoring results, and making adjustments as needed (Weick & Sutcliffe, 2001).

Implications for university programs. How do university programs support reliability of practice that is based on mindfulness and resilience rather than on prescribed practices? A starting point is to develop and organize a knowledge base that is rich with possibilities and which draws broadly from craft knowledge and case studies as well as traditional research. Such a knowledge base would be purposefully eclectic, even to the point of including contradictory practices, as Donmoyer (2001) suggested. Drawing on this knowledge, preparation programs would emphasize helping candidates learn to use a broad repertoire of strategies that might be useful in different school situations. As Weick and Sutcliffe (2001) emphasize, this variety of approaches is valuable, not only because it offers alternatives for responding, but also because it helps people in the situation notice more quickly when existing procedures are not sufficient.

Of course, a knowledge base of possibilities, by itself, doesn't instill much public confidence in the profession or in the reliability of local practice. Thus, an essential complement is to prepare principals to constantly monitor the results of their leadership practices. Regular feedback allows principals to approach their work as a creative, ongoing process. Frequent measures of organizational processes have been widely described as essential in such different contexts as quality improvement programs (Deming, 1986), cultures supporting learning (Shepard, 2000), and self-managing work teams (Rehm, 1999).

As the popular slogan, "Ready, fire, aim" implies, failures are sometimes best avoided by repeated cycles of trial, feedback, correction, and re-trial, rather than by efforts to ensure exactly the right leadership practice on the first attempt. Experience suggests that principals can almost always count on one thing: whatever they try initially, it will not work with everyone involved. Adjustments are needed to extend the impact of leadership actions, and time is usually available for iterative improvements as long as school leaders have ongoing information on results of leadership actions.

In schools, timely feedback on leadership practices means measuring more than just student achievement, because a leader's actions often have delayed and indirect effects on learning. More immediate measures focus on aspects of the school itself that leaders can influence and that are associated with learning. The school leadership frameworks that I outlined earlier offer one approach. We have recommended that principals develop regular feedback on the level of engagement that school conditions are intended to stimulate in students, staff, and families, and to supplement this with regular monitoring of the nine school conditions. Before a knowledge base of possibilities can serve as a trusted basis for professional practice, feedback on school leadership will need to be as ubiquitous as the automobile dashboards that provide essential information while we drive. For this to happen, we need to develop practical measures that principals can use to monitor how their actions affect the conditions that contribute to student learning and school character.

SHARE RESPONSIBILITY FOR PRINCIPAL PREPARATION

The first two recommendations for reframing school leadership's professional public contract highlight a long-standing dilemma facing university principal preparation programs. On the one hand, the capabilities needed to lead civic dialog about school purposes and then

to construct local practices that achieve those goals implies a challenging set of standards for preparation. Unless candidates are broadly prepared, it is difficult for the field to argue that local practitioners can achieve the reliable results that the public expects from professionals. On the other hand, state licensing for educators has generally been more “essentialist” (Imig & Imig, 2006), limited to technical skills that are easily defined and assessed. Minimum requirements, in turn, encourage the development of narrowly designed programs, making it more difficult either to attract candidates to more rigorous programs or to guarantee high-quality practice.

The challenge, then, is to sustain a robust view of principal competence, so that the profession can assure a skeptical public that individual practitioners have the expertise and commitments needed for reliable results. Much has been written about the importance of standards for both individual certification and program accreditation as education professions address this dilemma (Yinger, 1999). My recommendations here address an underlying issue related to university responsibility for preparation. Despite the seeming paradox, I argue that limiting the scope of university responsibility might be the best way to sustain a comprehensive definition of needed principal competencies.

Once again, the recommendation departs from conventional ideas of professional advancement. The development of university-based preparation programs and university stewardship for the knowledge that supports practice have been central to establishment of professional status. In school administration, university programs were established even before a scholarly foundation for practice existed, giving credibility to early efforts to develop professional influence and autonomy (Tyack, 1974). As with other professions, though, a debate continues over the relative value of apprenticeship and academic models of preparation (Sullivan, 2005), so it is not surprising that university preparation for school leaders seems constantly under attack (Hess, 2003; Levine, 2005).

Another concern is that relinquishing even a part of the university's responsibility for preparation could make it difficult for preparation programs to operate within the fiscal models of most universities, which depend on courses and tuition to generate the revenue needed to support faculty salaries and research. And, if the university role in preparation is not sufficient to support traditional faculty members, this could undermine the university's capacity to develop and sustain the knowledge base for practice.

Despite these risks, sharing responsibility for preparation offers a promising strategy to prepare principals for reliable local practice that is guided by civic community dialog. Preparation for the principalship differs from many professions in that it typically occurs at mid-career, after experience as teachers and often other positions in schools. It therefore has as much in common with leadership development from within organizations as it does with initial professional preparation. Three aspects of leadership preparation identified in this literature—personal development, leadership development, and leadership education—provide a useful foundation for considering how responsibility for preparing principals could be shared between universities and school districts:

Personal development—working toward emotional maturity by building knowledge of self and others—provides a foundation for much of the people-intensive work of school leadership (Goleman, 1998). The ability to build and sustain effective relationships is critical to leadership roles in many different organizations (Bunker, Kram, & Ting, 2002), and seems particularly important to the task of fostering professional learning communities in schools (Spillane & Louis, 2002). Personal maturity is also needed to establish the positive mood and tone associated with effective collaborative work (Goleman, Boyatzis, & McKee, 2002). Both school districts and universities can provide some support for emotional development by

providing mentoring and feedback, but the responsibility and initiative for personal development remains largely with the individual.

Leadership development—learning opportunities on the job in structured programs and informal interactions—can foster essential skills of operating in organizations, with context-specific experiences, challenges, and feedback (Mumford, Marks, Connelly, Zaccaro, & Reiter-Palmon, 2000). Work experiences provide opportunities to understand an organization's norms and goals and to develop technical and leadership skills associated with the organization's work. Leadership development involves experiences such as executive coaching (Kampa-Kokesch & Anderson, 2001), evaluation and feedback systems (Chappelow, 1998), mentoring (Sosik & Lee, 2002), and developmental job assignments (Day, 2001).

Leadership education complements personal development and leadership development with formal university coursework associated with a degree or licensure program. Here, the focus is typically on developing and integrating candidates' knowledge and enculturation into professional norms and practices.

Implications for university programs. While state licensing standards and university cultures have encouraged design of university programs in school leadership as separate from prior on-the-job experience (Muth, 1995), the content needed in university programs depends greatly on the extent to which leadership development and personal development have occurred prior to admission. When university programs are unable to count on any consistent level of district-based leadership development before admission, the curriculum naturally emphasizes applied skills and clinical experiences that will support performance of the practical aspects of principals' jobs (Murphy, 2007). But because the most licensing programs are relatively short, it is unlikely that a university program, no matter how comprehensive and profound its clinical experiences, can ever replace even a fraction of the on-the-job learning that is central to contemporary conceptions of leadership development within organizations (McCauley & Van Velsor, 2004).

On the other hand, if district-university partnerships could be developed that ensured systematic attention to on-the-job leadership development, then university programs could focus more on knowledge and how it is structured than on practical skills and how they are applied. If such a change were possible, it would allow universities to emphasize each candidate's development and synthesis of professional knowledge and their motivation to engage with that knowledge in transformative ways. In other words, being more modest in our claims about the role of university programs might allow us to fulfill our roles more effectively. Doing this in partnership with districts could ensure more comprehensive preparation for the principalship and increase public confidence in the new capabilities that practitioners bring to their local positions.

Formally sharing responsibility for principal preparation with school districts suggests two directions for university programs, one structural and the other curricular. Structurally, the challenge would be to fashion very different partnerships than we now have in most preparation programs. Of course, collaborations with school districts are a familiar part of many preparation programs, with participation in selection of candidates, shared instruction, and even in customizing curriculum for cohorts of students (Barnett & Muth, 2003). But these joint efforts typically focus only on the formal principal preparation program, without addressing the leadership development that occurs on the job prior to entering the university. A partnership that engaged the district and university in supporting leadership preparation in both institutions over several years could support breadth of practical leadership experience prior to entry into a licensure program and greater integration of conceptual and applied

knowledge. This, in turn, could allow university programs to focus less on efforts to duplicate on-the-job leadership opportunities through clinical experiences and more on other aspects of the curriculum.

To develop such partnerships, we need a new round of boundary-crossing experiments among school districts, education leadership programs, and teacher education departments. For example, a jointly sponsored, ongoing “teacher leadership forum” could offer continuing support as teachers gained experience across various leadership roles in a school and district. If the university principal-education programs then built on these experiences rather than replicating them with parallel coursework, new possibilities could emerge for the university curriculum.

How might the university curriculum change if less focus on immediate practical skills was required? One important possibility emerges from literature on development of expertise across several content domains. Experts differ from novices in the extent to which their personal knowledge is structured around critical concepts and theories in their field. Structured knowledge affects both the possibilities people see in various situations and the way they learn from their experience (Bransford & Schwartz, 1999; Chi, Feltovich, & Glaser, 1981; Chase & Simon, 1973).

This logic suggests that university programs could have a significant impact on principal practice by developing a clear organizing structure for professional knowledge and arranging preparation programs so that individual candidates begin using that structure in their own thinking. Whatever their prior leadership experiences, principal candidates enter university programs with a large store of informal knowledge and, often, strong biases that have been built up over years of working in schools. By attending systematically to the way candidates have learned to think about schools, university programs can help them develop knowledge structures that are coherent and complete enough to support effective professional practice.

Engagement with a shared knowledge base can also help principal candidates understand the professional context of their work and how professional commitments extend beyond the interests of any particular school organization. This can strengthen individuals’ motivation to develop as school leaders. Done systematically, such education could also help new members of the profession develop a common understanding of mission, commitments, and history, fostering continuity of purpose and strategy (Conger & Benjamin, 1999).

In previous writing with Colorado colleagues (Bellamy et al., 2007), I have suggested one way to focus preparation on knowledge structures and expertise, using the nine school accomplishments and the annual cycle of school leadership as knowledge structures and a series of performance tasks that require candidates to integrate their prior experiences, readings, reflections, clinical practice within these knowledge structures. The two complementary approaches that we have recommended for framing principal practice were designed to be both organizers for the profession’s knowledge and knowledge structures that individual principals might develop in the course of a preparation program. Performance assessments developed in conjunction with these structures could give faculty opportunities to find out about how students have organized their thinking about leadership, and offer students multiple opportunities to practice using a common approach as they make sense of professional readings and reflect on practical experiences.

CONCLUSION

The boisterous crowd in the principal’s office creates a new and challenging context for the school-leadership profession. Already under pressure to achieve short-term results in very

complex settings, principals also need deep understanding of many views about what is most important in schools, skills in facilitating local civic dialog, and a deep repertoire of leadership practices that support adaptation to local circumstances. This confluence of pressures also challenges university preparation programs to reconsider the strategies we use to support and enhance the professional influence of principals.

Although challenging, increased participation and intensified conflict are also opportunities for the school-leadership profession. Public disengagement and apathy toward public schools is a much more debilitating alternative, since a community's schools and school leadership are unlikely to be much better than the civic processes through which it reaches decisions about goals and priorities (Mathews, 2006). Continued public participation, even when divisive, means that school leaders still have an opportunity to renew the civic contract that underlies professional practice while leading schools where all students learn.

Conventional approaches associated with strengthening and structuring the knowledge base might help our field take advantage of this opportunity. But, given the intensity of attacks on state licensing, university preparation, and professional authority of principals, less conventional strategies deserve attention as well. The basis for a renewed professional contract is trust that school leaders will work toward goals that are established through public civic dialog and that they are able to achieve reliable results as they use a broad repertoire of possibilities to adapt to the emerging circumstances in each community. Preparing principals who can fulfill this new contract requires a new kind of district-university partnership that integrates leadership development and leadership education.

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G. Thomas Bellamy is Professor of Education, University of Washington Bothell. Preparation of this lecture was supported in part by a grant (U363A050077) from the U. S. Department of Education's School Leadership Program. However, those contents do not necessarily represent the policy of the Department of Education, and you should not assume endorsement by the Federal Government. The author also expresses appreciation to colleagues whose collaboration contributed to the paper, including Rodney Muth, Connie Fulmer and Michael Murphy of the University of Colorado at Denver and Health Sciences Center and Laraine Hong of the University of Washington.

The Culturally Proficient Professoriate

Randall B. Lindsey

It is my honor and pleasure to be with you today to deliver the Corwin Lecture. Thank you, Rosemary (Papa), for your kind words of introduction and, thank you, Linda (Morford) for your support in making this visit effortless on my part. A special thank you to Corwin Press and, in particular, Douglas Rife, President, and Robb Clouse, Vice President and Publisher, for your support of NCPEA and your continuing efforts to provide voice to those who continue to articulate between higher education and P-12 schools.

I believe my first NCPEA conference was at the Seattle University in 1981. Since then, I have had the opportunity to attend several NCPEA meetings and sleep in many fine dormitories across this country. And, now (*looking around the Crystal Ballroom*), the Knickerbocker Hotel in Chicago!!

INTRODUCTION

In all seriousness, my interest in accepting the opportunity to deliver the Corwin Lecture is based in 3 experiences that provide a frame of reference for my comments today:

- First, this is an Illinois homecoming for me as I was born, raised, and schooled in Kewanee;
 - I received my Bachelor's Degree from Western Illinois University, (WIU) and
 - My Master of Arts Degree in Teaching History from the University of Illinois.
- Those fine institutions served me well and, ultimately, informed by knowledge of Cultural Proficiency in important ways:
 - WIU was the entry point for a generation of students who, like myself, were first-generation *high school attenders*. We benefited from a faculty who mentored us into a world that most of us could not see.
 - The University of Illinois, Urbana was where I took my history emphasis in Negro American History and where my education was informed about the issues of *difference* in our country.
- Second, I am pleased to be with you today, because I began my administrative career about 90 minutes south of here in Kankakee. In 1970 I assumed the role of Advisory Specialist to the superintendent on matters related to the school desegregation process. Kankakee was one of the first three northern districts to desegregate ahead of US Civil Rights sanctions. In my administrative roles in Kankakee and the Princeton City School District in suburban Cincinnati I lost my educational innocence. I learned that many educators had no interest in all students learning **or** even in all students having access to education opportunities.

- The third reason I am pleased to be here today is, as noted in the introduction, I served on the Executive Board of NCPEA from 1992—1994. Appointment to the Executive Board was facilitated by the fact that I was chair of the Division of Educational Administration and Counseling at Cal State, LA and we had hosted a highly successful NCPEA conference in 1990.

So, I find it a prestigious, yet humbling experience to *come home*:

- To Illinois where I learned and honed my values,
- To my education administration profession where we continue to be involved in defining our role in educating all children and youth, and
- To NCPEA, which I believe can be a major force in seeing that the democracy formed in 1789, and the fruits of which were reserved initially for property-owning white males, can finally be guaranteed to all demographic groups in our country.

OUR CHALLENGE AS A PROFESSION

This has been a most interesting and difficult presentation to construct. As I completed it, I was intrigued to learn that my comments are:

- Partly reflective,
- Partly descriptive, and
- Partly future-focused.

My *reflective* comments are focused on our profession of Education Administration that has provided **in**consistent leadership in meeting the needs of all demographic groups of students in our communities. With that said, however, individual professors, many of whom are in this room today, have distinguished themselves in responding to the needs of historically under-served communities. My *descriptive* comments are about the Cultural Proficiency tools and how I see them related to our work, both in higher education and with our P-12 schools. My *future-focused* comments are my belief that NCPEA has the potential to become a true leader in responding to the needs of all sectors of our society.

One thing that is a given, we all know of the *under performing schools* in our country, and one of the realities we must face is that those schools are led by people we trained and educated. It is our future to construct. I wish and hope that, if my comments have value to you today, they cause each of us to continue to examine our personal views and experiences and to learn of the views and experiences of those who are different from us.

TERRY CROSS – DEVELOPER OF CULTURAL PROFICIENCY

Prior to discovering Mr. Cross's monograph in 1991 I had identified my work as anti-racism. I was clear within myself and with my colleagues about what I *opposed*. Mr. Cross provided me with a template of things to be *for*. As a member of the Seneca Indian Nation, Mr. Cross has a perspective on our society that is informed by his personal and professional experiences. He is a social worker and founder and Executive Director of the National Indian Child Welfare Center. My initial attraction to his work was the knowledge that he has helped professionals in all fields to know that people of color need to be served differently and that they are not 'sick white people.' I hasten to add that also we draw on the works of James

Banks, Asa Hilliard, Sonia Nieto, Michael Fullan, Richard DuFour, and Rosemary Papa among others in doing the work of improving our schools for all learners.

You will hear me use the word ‘we’ in my comments this morning. If so, it is important to know that my comments today represent several co-authors in my community of practice—administrators, psychologists, teachers, professors, and one minister! Please know the illustrations I use in my comments this morning weave back and forth between our work as Education Administration faculty and our relationship with our P-12 colleagues.

CHANGES IN EDUCATION LEADERSHIP

It is my opinion that being a professor of education administration, or education leadership, has changed dramatically during my 4-decade career. No longer can diversity or equity be relegated to one course in a program to be taught by only faculty members who are men or women of color. For that reason I am pleased, **no enthused**, at the leadership provided by ISLLC, NPBEA, NCATE, and Educational Leadership Constituency Council (ELCC) members with regard to issues of diversity and equity.

The ISLLC standards and, now the ELCC, are based in assumptions that are measured departures from our curricula and practices in higher education through the second half of the 20th century. The new standards focus on, among other things:

- The improvement of teaching and learning.
- Concerted focus on the morality and ethical frameworks of our profession.

Similarly, I strongly support **one** aspect of No Child Left Behind (NCLB), as well as many similar state measures, namely making the achievement gap a central subject of our work. Though the achievement gap has been well documented by the National Assessment of Educational Progress (NAEP) since 1971, NCLB has provided us in the education profession no excuse for continuing to turn a blind eye to disparities in student achievement.

The achievement gap in public education is NOT new. The revelation of it through mandated (such as NCLB) disaggregation of data has put the spotlight on educational access and achievement gaps. The general public now knows of the gaps that exist between white and Asian students on the one hand and African-American, Latino, English Learners, Native American, and students from low socio-economic communities on the other hand.

I have observed that our P-12 schools work well for the children and youth for whom they were designed. Our role, then, seems clear and may be shaped by our response to this question:

- What gap exists between the professoriate and our students who teach and lead in communities pressured to close the achievement gap?

To that end, Cultural Proficiency is the approach that I have chosen to guide my work. It is **not** the *only* approach to addressing issues of equity and inequity. I commend Cultural Proficiency to you today for your consideration as a way to frame our work as teachers, as researchers, and in service of our communities and our profession.

CULTURAL PROFICIENCY AS A LEADERSHIP LENS

Cultural Proficiency is an *Inside-Out Process* about knowing who we are in the context of the communities we serve. For those of us in this room, it means knowing who we are in relationship to the incredible diversity of our service areas. As we move away from our campuses our reference groups become ever more diverse. Now, more than ever, we are morally expected to insure that our education administration candidates are

- Knowledgeable of local school districts/agencies,
- Knowledgeable of our local and state administrator groups, as well as
- Able to interact effectively with the wide diversity in our communities as we continue to fulfill the promises of our democracy.

For these reasons, Terry Cross identified Cultural Proficiency to be an *Inside-Out Process*. It is his belief, one I share, that we must become students of our own values and behaviors in the various contexts within which we and our students work.

- It is about being aware of how we work with others, and
- It is about being aware of how we respond to those who are different from us.

In other words, the work begins with *us*, not with the *Other Person*, certainly not with our students/candidates. Cultural Proficiency is a personally and professionally liberating approach to doing our work in that we focus on our practice as opposed to any perceived inadequacies of other groups. Cultural Proficiency is an approach to life and, in our context, to our profession. For many, Cultural Proficiency represents a paradigmatic shift in thinking. Cultural Proficiency is a lens through which we view and judge the world. It is a lens that treats those different from us in such a way that we can help our students develop their knowledge and skills.

If you are familiar with Malcolm Gladwell's book, *Blink*, he posits that we make assumptions, knowingly and unknowingly, every 3 seconds! Cultural Proficiency is about being able to recognize our assumptions. When we recognize our assumptions, we can choose to keep, change, or rid ourselves of them.

Please hold on to this concept of paradigm shift because when we get to the specific Tools for Cultural Proficiency, I will provide examples of this shift in thinking.

The tools of Cultural Proficiency align well within the ELCC guidelines for developing vision and moving to strategic planning. The tools of Cultural Proficiency provide us the opportunity to examine and change, as appropriate, our:

- Personal and professional *values* and *behaviors* and
- Institutional *policies* and *practices*.

For those of us who are Professors of EducationAdministration, this approach is not about what we teach to our students, it is how we view and deliver our work with our students and the schools from which they come.

There are 4 tools of Cultural Proficiency. I introduce them here and will follow with examples of each:

- The Guiding Principles provide values to inform our work.
- The Continuum allows us to describing unhealthy and healthy values, behaviors, policies and practices - both within our programs **and** for use by the students in our programs.
- The 5 Essential Elements are the standards that guide our work, most notably as we embrace emerging professional and state standards and guidelines.
- The Barriers are forces that push back against us as we do our work and with planning can be mitigated and overcome.

THE GUIDING PRINCIPLES

The **first tool** is the Guiding Principles. I am posing a few questions and ask you to raise your hands when you agree:

- How many in the room believe that racism has existed in this country? That it still persists, even today?
- Same for historical sexism? That it still persists?
- Same for classism? That it still persists?
- Same for heterosexism? That it still persists?
- Other forms of oppression? And, today?
- Thank you.

The reason for asking these questions is not only to confront us with the legacy of our history. It is to acknowledge and actively remind us that vestiges of many of the ugly periods of our history continue with us today. In many cases these legacies are the underpinnings of the achievement gap that we in education have failed to bring to center stage for almost 2 generations now. A second reason for raising these questions is the importance of aligning our espoused theory of leadership with our theory-in-action. Congruence between what we profess and what we do is guided by our core values. Cultural Proficiency has a set of core values expressed as guiding principles. Table 1 lists the guiding principles.

Table 1. The Guiding Principles of Cultural Proficiency.

- | |
|---|
| <ul style="list-style-type: none"> • Culture is a predominant force in people and school's lives. • People are served in varying degrees by the dominant culture. • People have group identities and individual identities. • Diversity within cultures is vast and significant. • Each cultural group has unique cultural needs. • The best of both worlds enhances the capacity of all. |
|---|

To work with the Guiding Principles in detail takes more time than we have today, so I will draw our attention to two important concepts within the principles – that of *Culture* and *Dominant Group*:

- *Culture* is the recognition that our society is comprised of groups, each with distinctive characteristics – racial, ethnic, gender, sexual orientation, social class, faith, ableness, among many others, including organizational culture.

- The second significant concept from the Guiding Principles is that of *Dominant Group*. It used to be that I got a lot of resistance to this concept, but the advent of NCLB and the exposure of the achievement gap have made those challenges all but disappear.

By the way, if you have not yet read Gloria Ladson-Billings' 2005 book, *Beyond the Big House: African American Educators on Teacher Education*, I highly recommend it to all education faculty members. Her description of the status levels of Colleges and Schools of Education serve as a metaphor for us to recognize the concept of *dominant group* within university structures. She described the experiences of African-American faculty members in many of our schools and colleges in such vivid terms that help us understand our challenges in attracting and retaining a diverse faculty.

The Guiding Principles serve as core values for our work, and provide a means for us to commit to serving all demographic groups equitably.

The Continuum

For our work as Educational Administration faculty, as well as our work with our P-12 colleagues, the Continuum is the **2nd tool** and is used to diagnose our own values and behaviors as well as our institutions' policies and practices. Table 2 represents the continuum and provides brief descriptions of each point of the continuum.

Table 2. Leadership and the Cultural Proficiency Continuum.

- **Cultural Destructiveness** – Leading in a manner that you seek to eliminate the cultures of others in all aspects of the school and in relationship with the community served.
- **Cultural Incapacity** – Leading in a way that you trivialize other cultures and seek to make the culture of others appear to be wrong.
- **Cultural Blindness** – Leading where you don’t see or acknowledge the culture of others and you choose to ignore the discrepant experiences of cultures within the school.
- **Cultural Precompetence** – Leading with an increasing awareness of what you and the school don’t know about working in diverse settings. At this level of development you and the school can move in positive, constructive direction or you can falter, stop and possibly regress.
- **Cultural Competence** – Leading with your personal values and behaviors and the school’s policies and practices being aligned in a manner that is inclusive with cultures that are new or different from you and the school.
- **Cultural Proficiency** – Leading as an advocate for life-long learning for the purpose of being increasingly effective in serving the educational needs of cultural groups. Holding the vision that you and the school are instruments for creating a socially just democracy.

- The first 3 points of the Continuum reveal when and how we view *them* as a problem.
- The second 3 points the Continuum is when and where we focus on *our* practice.

We use the Continuum in a number of ways to collect and analyze data in order to uncover underlying attitudes. Underlying values can peek through when we examine our conversation (a manifestation of our behavior), let alone our policies and practices about cultural groups different from us.

- Language to the left side of the continuum, as noted, blames *them*.
- Language to the right side of the continuum focuses on our *practice* – those things over which we have control.
- This is an example of the **paradigm shift** referred to earlier.
- An example of the shift in thinking and language is when on the left side, we often refer to students as *under performing*; whereas, on the right side, we refer to students as *under served* or *needing to be served differently*.
- To the left side, we might refer to *subgroups* of students; to the right side, we refer to *demographic groups* of students. This example came most vivid to us when an African American parent rose in a session to announce *she wasn't a sub group to anything!*
- To the left side, we spend time describing the impact of *the 17 hours students are not on campus*; on the right side we discuss *the 7 hours students are on campus*.

An example from one of our EDAD colleagues is:

- An EDAD thesis student who, after examining student achievement data for students in his own school, arrived at an unintended consequence to his study. He questioned why he is assigned to teach only *honors classes*. He realized the discrepancies that existed between his assumptions about low performing students and the reality of students being underserved. He said, *Our students in most need, NEED the best teachers. I am one of the best teachers, so I will also teach the least served in our school from now on.*

The Essential Elements of Cultural Competence

The 3rd tool is the five Essential Elements. The Essential Elements exist at the Cultural Competence point of the Continuum and serve as standards for our professional behavior and for the policies and practices of our programs. Table 3 lists the 5 essential elements:

Table 3. The Essential Elements for Culturally Proficient Leadership.

- | |
|--|
| <ul style="list-style-type: none"> • Assessing Cultural Knowledge • Valuing Diversity • Managing the Dynamics of Difference • Adapting to Diversity • Institutionalizing Cultural Knowledge |
|--|

The Essential Elements do not add to our work, they provide a lens for how we **do** our work. I have selected some questions that Education Administration colleagues are asking to

promote and provoke rich discussion and reflection. Please note that each question focuses on our practice:

- How much do I know about my own culture(s)?
- How much do I know about the cultures in our service area?
- How is our EDAD program viewed by the various cultures in our service area?
- How do members of the various cultures in our service area view our program and me?
- How do the students/candidates in our program know I value diversity? How does it show in my/our approaches to serving the varied educational needs in our service area?
- How are the voices of women faculty and faculty of color known in our program(s)?
- How do I distinguish between *tolerance* and *valuing*?
- How does our program/department deal with differences rooted in culture? Do we avoid, ignore, sublimate, or discuss?
- How do we support service and research that is *non-traditional* and that depart from past practices?
- Who teaches the diversity courses?
- What does our silence about issues of diversity *say* about us? Too often silence equates to permission, agreement.
- How do we insure that our curriculum and instructional delivery system and research agendas reflect changes in the community?
- As we consider the changes sought by ELCC, to what extent do we insure that these changes permeate through our curriculum, our research, our service, and our scholarship in ways that are authentic? OR, do we make our syllabus and program descriptions align in print, but continue to do the same thing as we have been doing for years?

The good news is that anyone can do it; all it takes is the willingness to try on a lens that recognizes disparity and is committed to finding out how to be of service to others. Two valuable sources and their websites for ideas and instruments are:

- Georgetown University Medical School – gumc.edu
- U.S. Department of Health and Human Resources, Health Resources and Services Administration – hrsa.gov/cultural-competence.

Barriers to Cultural Proficiency

The 4th tool describes what it takes to overcome the barriers to Cultural Proficiency. One might ask, and appropriately I might add, *well, this seems pretty straightforward, are there any pitfalls?* The answer is a decided YES! This takes us back to my earlier questions when we, in this room, believed that systems of oppression have existed and continue to persist to today. As I recall, the preponderance of responses were that these systems existed and continue to exist. Table 4 provides a description of barriers to Cultural Proficiency:

Table 4. Barriers to Cultural Proficiency.

- **Resistance to change** – Many educators and schools often struggle with change that involves issues of culture. For those who are resistant, change often is experienced as an outside force that judges current practices as deficient or defective. Whether accurate or not, an adversarial relationship exists between those forcing the change and the members of the school.
- **Systems of oppression** – That racism, sexism, heterosexism, ableism, and classism exist is without refute, historically and currently. Data are on the side of documenting and describing the ill effects of such systems. Being able to understand oppression as a systemic issue apart from personal behavior is important.
- **A sense of privilege and entitlement** – Systems of oppression have two effects – on those who are harmed and on those who benefit. Those harmed from systemic oppressions respond from an emotional connection as well as from well honed practices that impact them negatively. Many of those who benefit from historical and current practices are oblivious to the negative effects of systemic oppression because they can choose not to see.

If we believe systems of oppression exist and people lose rights and privileges due to those systems, then it stands to reason that others benefit from the existence of those same systems and in most case are totally unaware of it! The moral and ethical response includes making a commitment to doing what is necessary and just. In our case, it is providing leadership that closes achievement disparities. It is the leadership that ISLLC and NCATE is providing to move us to address issues that our colleagues of color have been saying to us for years.

Ladies and gentlemen, my purpose today was to honor you and our profession. I came here to challenge our profession to do whatever it takes to lead our own programs to serve all demographic groups of students in our P-12 schools. And, I came here to express confidence that we in this room can insure that our democracy will continue to unfold through our intentional acts.

Thank you.

Proactively Serving Our Disenfranchised Youth: The 2006 Walter D. Cocking Lecture

James M. Smith

“If [education] . . . is to be genuinely progressive, it must emancipate itself from the influence of . . . class, face squarely and courageously every social issue, come to grips with life in all of its stark reality, establish an organic relation with the community, develop a realistic and comprehensive theory of welfare, [and] fashion a compelling and challenging vision of human destiny” (George Counts, 1932).

The quote above is now 75 years old; however, the applicability of these words never could appear more powerful than when framed within the context of today’s America. In a nation that is clearly one of the most wealthy and powerful in the history of all civilization, the inability of said nation to deal with the human destiny of our most valuable resource, our children, remains largely unrecognized. Certainly, some recognize the importance of social justice and the myriad ramifications that occur and will continue to occur as a result of dealing with individuals and groups in ways that are simply unjust and/or immoral; however, individuals willing to behave like true public intellectuals (and, thus, loudly decry the actions of the few who so often affect the many) seem to be diminishing by the day. Debates concerning the importance of social justice as a fundamental element of teacher and administrator preparation programs have been forcefully voiced—in too many cases the loudest voices, though, have been those calling for the elimination of such programmatic elements. Recent debates within the NCATE community clearly demonstrate that those on the political right have absolutely no interest in entertaining discourse with respect to organizational and personal responsibility to establish institutions to enhance personal and social development. So heated did these debates become that by the year 2006, the conservatives proclaimed victory when Arthur Wise announced that NCATE would eliminate the words social justice from its guidelines all together (Wasley, 2006, p. A13). As a scholar with interest in advantaging those who have, historically, been systematically disenfranchised, how can the following thoughts be viewed as so distasteful:

Social justice is the virtue which guides us in creating those organized human interactions we call institutions. In turn, social institutions, when justly organized, provide us with access to what is good for the person, both individually and in our association with others. Social justice also imposes on each of us a personal responsibility to work with others to design and . . . perfect our institutions as tools for personal and social development. (Center for Economic and Social Justice, 2006)

Although the aforementioned may seem to bring forth the inflammatory only to be inflammatory, nothing could be further from the truth. Leadership in public schools, by role

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or position, requires an in-depth understanding of the basic tenets of precisely what it means to be a leader. That thought is, as a colleague of mine once said, “a rather blinding glimpse of the obvious.” However, to examine carefully what leadership is can truly be informative. Michael Fullan, quite possibly, defined this notion well “Leadership, then, is not mobilizing others to solve problems we already know how to solve, but to have them confront problems that have never yet been successfully addressed” (2001, p. 3). Problematic elements come into play here. For example, leaders in today’s schools know or should know that finances “count” in the lives of our children. Hedges, Laine, and Greenwald (1994) and Greenwald, Hedges, and Laine (1996) demonstrated that additional school funding can produce gains in overall student performance. According to their computations, every additional \$100 spent per pupil will increase student achievement by one-fifth of a standard deviation. When those uninterested or adamantly opposed to social justice tenets purport that money does not matter -- again, leaders can, and in my opinion, must, cite data to the contrary. In keeping with the work of Hedges, Laine, and Greenwald, the Kansas Association of School Boards created the following grid to show that money, indeed, does count. (See Table 1)

Table 1. Combined NAEP Scores and State Spending Per Pupil.

2003 National Assessment of Education Progress	Average Combined NAEP Score	Average Current Expenditures Per Pupil
Top Ten States	150.2	\$9,016
2 nd Ten States	136.8	\$8,393
3 rd Ten States	127.5	\$8,072
4 th Ten States	109.1	\$7,392
Last Ten States	85.5	\$6,860

The highest achieving states spent the most; the lowest achieving spent the least. The top ten states in combined national reading and math scores spend the highest average amount per pupil. Furthermore, each group of states with lower-ranking NAEP scores also spend successively less per pupil. The highest ranked states spend an average of \$2,156 (or 32%) more per pupil than do the lowest ranked states (see http://www.usd358.com/vnews/display.v/ART/2005/07/22/42e128ad32324?in_archive=1). Simply said, money does count – those who live in high wealth states or states that choose to generate significant funding for P-12 education do reap the benefits of this type of financial investment. Leaders must be willing to articulate that which is known in this arena. For example, as poverty increases in a given school district, readiness assessments for entering kindergarten youth have been found to decrease in appreciable ways. Recent findings in Middletown, Ohio (a working-class district north of Cincinnati) demonstrated average readiness scores that were 11% below that

of the state average for Ohio youngsters. As the Superintendent for that district noted, “economically disadvantaged students ... are traditionally lower performing than other student groups” (Gildow, 2007, A4). Those who fail to address pundits attempting to decry the power of these statistics must realize or be called to the realization that they are unable even to solve problems already existing, those with known solutions. How will these education leaders ever be seen as capable of confronting problems that are not yet identified?

WHAT ELSE MATTERS BEYOND FINANCES?

Critics who frequently ignore or simply disregard data pertaining to elements of effective school improvement often do so from the perspective of generalized cost containment. In addition to the overall assertion that financing P-12 education is irrelevant, it is habitually stated (again, most generally from those on the political right) that the debate on large class size versus small class size is, likewise, a non-entity in the school reform movement. Achilles and Molnar (2000) have reported, though, in a rather clear and concise manner, that students involved in the STAR experiment (Student Teacher Achievement Ratio) outperformed students who had been in regular-size classes on tests in all subject areas. These STAR students, approximately 7,000 in number, were assigned to classes with enrollment parameters of 13 to 17 or 22 to 25. Students assigned to the small classes from Kindergarten to Grade 3 outperformed regular-class students on all tests, every year, and the gap between small and regular-class test results increased each year. As an example of this performance growth, an average STAR student in a small class in grades K-3 outperformed a regular-class student, at grade 4, by 6.6 months and 8.7 months at grade 8 -- fully five years after leaving the small-class environment (Achilles, 1999). Reanalysis of STAR data indicated that minority children experienced significantly enhanced outcomes when placed in small classes (Krueger, 2002). Thus, we know that money matters and class size matters – to act as if these are not the case is simply dereliction of duty.

In addition to the importance of significant levels of investment capital provided to/schools and the need for reduced class size, we also know that poverty has a forceful deleterious affect on learning at all stages of growth and development. Research that spans the decades from the Johnson administration to the G. W. Bush administration consistently indicates that even mild under-nutrition, as experienced by young children, can impact their behavior, their school performance, and their overall cognitive development (see http://www.secondharvest.org/learn_about_hunger/fact_sheet/child_hunger_facts.html). However, poverty continues to grow at an astounding rate in this most prosperous of nations. According to the *2006 Kids Count Data Book*, nearly 13.8 million U.S. children lived in food insecure households in 2004, an increase of more than 1 million from the previous national study conducted in 2001. The documented rural poverty rate for children, in 2003, was 20.1%, while the urban/metro areas were a bit more than 17%. Poverty and food insecurity are growing in this nation, especially rapidly in rural environments. Can there be any doubt that such growth in food insecurity has an obvious and recursive impact on learning and academic success?

As a final element in this section, I would be remiss not to mention that, as an important companion to my phrases “money matters”, “class size matters”, and “poverty matters”, we must include and consider the equally powerful phrase, “race matters.” In June of 2006, The Schott Foundation for Public Education announced that nearly 60% of African-American males did not receive diplomas with their high school cohorts (Oates, 2006). Even

more shocking was that states like South Dakota and Maine, with very small numbers of Black male students, graduated less than 30% of these students via a traditional timeline. Quite possibly the most shocking of all, was the unearthed fact that in major cities like New York and Chicago approximately 70% of these young men did not graduate with their peers. I submit that “race matters”—if these statistics were attributed to Caucasian young men or women, our nation would be in an absolute uproar. Do our local business professionals and politicians know these statistics? If not, the education administration professoriate must be held partially at fault. We are the public intellectuals responsible for disseminating this research – not only must our students be familiar with these facts and figures, all those who work or live around us must be sensitized to these data – it is our professional responsibility to do so. Anything less is shameful individual and collective incompetence.

CAN WE MAKE CHANGE COME TO FRUITION?

Those who are intimately familiar with the corpus of my work often note that reading virtually any piece that I have composed, or coauthored with my colleague, Connie Ruhl-Smith, is a bit like listening to a modern-day death march. I often do not openly disagree with these statements; however, I do maintain that all of my work contains opportunities to embrace both hope and change. This lecture is no different. Yes, the statistics with regard to such things as class size, race, and poverty can be daunting. I agree that the lack of overall funding for P-12 education is a disquieting and sobering fact, and I do believe we can make changes in modern American education. For example, we know that Head Start students who remain in identifiable cohorts have been found, consistently, to experience positive outcomes with regard to grade retention and eventual graduation (Barnett, 1998). We know that additional affirmative outcomes from Head Start include positive attitudinal constructs on the part of parents; positive academic interest on the part of children; increased scores overall on state-wide achievement tests; and faculty and staff buy-in unlike that found in similar educational institutions serving like children (Washington & Oyemade, 1987; Currie & Duncan, 1995). Simply stated, Head Start works!

Similarly, we know that summer vouchers for the poorest of our children can be utilized to close the achievement gap (i.e., between those with and without wealth) during the summer months (Krueger, 2000). This novel concept could be used to allow for the infusion of enhancements commonly provided to students of wealth—small group reading experiences, visitations to art museums and other cultural settings, attendance at summer camps, and one-on-one tutoring in areas of academic difficulty. We know, additionally, that these scholarships would and could powerfully supplement, rather than substitute for, the traditional public school experience. Students would not be encouraged to attend charter schools or schools of a similar ilk—these students would be succeeding in public schools and, thus, be embracing and living the dream of an egalitarian educational system that so many of us have described to our students year after year. There is hope here, my friends. We must embrace that hope, in visible and powerful ways, and act accordingly. As my Grandmother was often fond of saying, “the devil is in the details.” Unlike those who remain hopeless, I believe that we can indeed overcome tragedies like those that have been so carefully described in the following words composed by Kusimo (1999):

. . . in the . . . 623 counties in eleven Old South states (Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Texas,

and Virginia), where some of the highest percentages of African Americans reside, more than half (54%) of all Black adults, age 25 or older, do not possess a high school diploma (p. 1).

Let us not believe, though, that this hope can or will come without significant challenges. In light of the importance of school funding on student achievement, we currently know that, in states like Texas and Arizona, children of poverty receive less school funding, at a rate of \$23,000 to \$29,000 per class, respectively. In Pennsylvania, poor children receive approximately \$33,000 per class less in school funding and, in New York, children of poverty receive \$65,000 less in funding, per class, than do their counterparts with wealthier income profiles (Kozol, 2005). To make the magnitude of this concern even larger in scope, in a high-poverty elementary school in the state of New York (with approximately 400 students), that school will receive \$1,000,000 less in overall annual funding when compared to the same size school in districts in that same state with the lowest number of poor children enrolled (Kozol, 2005). Concomitantly, when we examine the issue of race, we see that our public schools are more segregated today than ever in the history of modern times. High schools in the center city of Cleveland, Philadelphia, and Boston routinely are populated by Black and Hispanic children at rates of 98%–99% of the population. And these schools are crumbling around the students they were built to serve. In 2003, the U. S. General Accounting Office estimated that our most ancient of school buildings (many in the center city of urban metroplexes) would require \$112,000,000,000 to repair and make them adequate for modern educational learning environments (Federal Help for Crumbling Schools, 2003). Again, our challenges are indeed steep.

Even though the research noted earlier unmistakably calls for smaller class sizes, instead, we see that larger and larger classes are becoming the “lived reality” for many of our children. At Benjamin N. Cardozo High School in Queens, the stated building capacity is 3,050 students; there are currently (AY 2006–07) 4,424 students in attendance. At the time of this publication, New York City Schools average more than 20 students in early grades, more than 26 in middle grades, and almost 30 in high school. Many classrooms in the city have 35 to 40 students (Hamison, 2006; Hevesi, 2006). The data are clear, smaller class sizes are powerful tools for school improvement—unfortunately, the will to implement these class sizes simply does not seem to be in place in many communities. We can and must do better!

GIVEN WHAT WE KNOW, WHY DO WE BEHAVE TO THE CONTRARY?

Although not yet addressed in detail here, my work for the past decade or so (as most of you well know) has focused on the addiction that America and the American public has with regard to standardized tests and testing initiatives (Smith & Ruhl-Smith, 2002a; Smith & Ruhl-Smith, 2002b; Smith & Ruhl-Smith, 2004; Smith & Ruhl-Smith, 2006). The desire for precisely calibrated state and national standards, along with their companion standardized testing pieces has hurriedly swept across this nation and, in the opinion of this critic, has been largely and rather simply predicated upon the belief that any successful business must test and retest the end product of assembly-lines that manufacture what will eventually reach the showroom floor. Therefore, this testing and retesting is replicated now in thousands of classrooms from Maine to California. Students, some as young as four years of age, are forced to prove that, as an end product, they are worthy of passing inspection. However, the proponents of such standardization seldom share the full picture regarding such test/retest

actions. As Kohn (2000) has noted, “Research has repeatedly found that the amount of poverty in the communities . . . accounts for the great majority of the difference in test scores from one area to the next” (p. 7). Although seldom discussed or debated in the mainstream media, the use of standardized instruments for measurement of overall performance is not to bring forth educational change at all. What is masqueraded as a device for social and economic change is nothing more than a way to solidify the existing social and economic divisions of our society? Sacks (1999) posited the following:

Indeed, if social engineers had set out to invent a virtually perfect inequality machine, designed to perpetuate class and race divisions, and that appeared to abide by all requisite state and federal laws and regulations, those engineers could do no better than the present-day accountability systems already put to use in American schools. (p. 158)

Testing procedures may be popular with the general public but, as education administration and education foundations faculty (with specific interests in the field of ethics) we should ask, are they the right things to do? I feel rather certain that more than 12,500 African American and Hispanic students, from the state of Florida, would not agree with the “rightness” of this choice. You see, these 12,500 students left high school without diplomas, even though they completed every secondary school academic requirement. The one requirement that they did not meet, however, was the “cut score” for the state-wide FCAT test (Smith & Ruhl-Smith, 2006). Ethically, have we acted in a just way toward these students? Those legislators, local politicians, and business professionals who argue that increased focus on academic measurement will, without question, improve student achievement might think that we have. To the contrary, we have ignored the importance of the holistic nature of learning and devalued the real educational experience for these youngsters: we have betrayed them. In the first edition of *To Teach: The Journey of a Teacher*, Ayers (1993) said it well:

Standardized tests can’t measure initiative, creativity, imagination, conceptual thinking, curiosity, effort, irony, judgment, commitment, nuance, good will, ethical reflection, or a host of other valuable dispositions and attributes. What they can measure and count are isolated skills, specific facts and functions, the least interesting and least significant aspects of learning. (p. 59)

To speak of testing without any discussion of the costs surrounding this testing movement is also irresponsible. Welner and Weitzman (2005) reported that Mathis carefully analyzed 40 adequacy studies, covering 26 different states, and reached a conservative estimate that the additional costs associated with providing all students adequate standards-based opportunities (as required by No Child Left Behind Legislation) would require an overall increase in funding of 27.5%. Therefore, for a state to achieve NCLB goals, total spending in said state would need to increase by at least 27.5%. Ask yourselves, which of your states is ready to increase spending by a level greater than 3%. I posit that the answer is virtually zero – now, take that 3% and multiply it by a factor of nine and ponder your response anew.

Reviewing finances for the standardized testing movement and not conjoining said costs with a discussion of the current financial outlay required for “doing business” under NCLB overall would be simply myopic. As many of you know, states are projected to spend up to \$5.3 billion between the years of 2002 and 2008 to implement NCLB-mandated tests (Miner,

2005). This figure is not purported by a leftist group of ideologues (as I am often referred to) but rather from the non-partisan Government Accounting Office (GAO)—a group that almost all of us would describe as strictly centrist in both composition and mission. If that statistic was not enough to bring forth some degree of pause in the audience, let me continue with another – according to Gordon (2005), the new federal budget abandons the pretense of adequately funding NCLB. At present, requests fall \$12 billion short of required spending levels for successful implementation—this \$12 billion represents fully one-third of an earlier authorization level. I believe it is important to recognize here that Gordon’s writings represent a budget for 2005—I urge all of you to investigate the continuation of that loss in financial support as it is extrapolated to 2006 and beyond.

Another area that I have written extensively on in recent years is about charter school development and support. The heading of “contrary behaviors” is a perfect fit for this topic. A rather vivid example of the fictive nature of charter school success exists in my home state of Ohio. *The Cincinnati Enquirer*, a newspaper that no Ohio resident would categorize as counter-cultural, reported not long ago that only 6% of fourth and sixth grade students enrolled in Ohio Charter Schools passed all five of the standardized tests mandated by the Ohio Legislature. Conversely, Ohio public school students passed all five tests at a rate of 43% at both fourth and sixth grade levels—providing evidence that public school students, even those residing in the most abhorrent of center-city environments, when aggregated, produced more than seven times greater success on said examinations (Welsh-Huggins, 2002). I have frequently noted that this desire to support charter school expansion is best described with the old adage, “the emperor has no clothes.” Accounts like that presented in *The Cincinnati Enquirer* are not atypical, nor are more recent news reports concerning the violation, by charter school ownership/leadership, with respect to state charitable trust laws (McGreevy, 2007). These stories make one wonder why the movement for charter school development is so great. Wyatt (1999) who posited that greed might be the answer described his belief that the goal of many business/corporate enthusiasts is their desire to transform large portions of publicly controlled education institutions into a “consolidated, professionally managed, money-making set of businesses that include all levels of education” (p. A1). Apple (2001), supporting the thoughts of Wyatt, contended that charter school and voucher legislation is supported by the political right largely because education is “the next health care – that is, as a sphere to be mined for huge profits” (p. 7).

This seems counterintuitive—for the better part of the past century, education administration faculty and other social scientists have described public education as the egalitarian key to a pathway for success in a capitalistic society. Why would we, then, as noted by Wyatt and Apple, abandon those thoughts or, at the very least, not publicly challenge those who purport the opposite? Could it be that the finances and the greed associated with financial largess have simply overpowered us? The Great State of Ohio, as noted by the *Cleveland Plain Dealer* (2006), has allowed David L. Brennan to collect approximately \$350 million in tax monies since charter legislation was enacted for the Buckeye State. While Brennan and his company, White Hat Management, were collecting and depositing those tax dollars, 15,700 students enrolled in White Hat schools and produced test scores lagging behind those generated by the Cleveland Municipal School District (Paynter, Livingston, & Stephens, 2006). Let me assure you, Cleveland Municipal Schools are not, and in recent memory have never been, referred to as an aspirational set of elementary, middle, or secondary schools. So, success is certainly not the metric in play here. Could the issue really be that Mr. Brennan has profited handsomely from 16 years of Republican leadership in the Governor’s Mansion in Columbus (see Smith, 2005)? As a related point, David L. Brennan

served as chairman of the Board of Trustees for The Ohio State University from 2001-02. His biographical sketch, as posted to the OSU website, denotes the following: “In 1992 then Ohio Governor George Voinovich was looking for someone to head a blue-ribbon commission on education. He tapped David Brennan. The Governor's commission forwarded a plan that led to significant new opportunities in educational choice across Ohio. In 1997, Brennan received The Governor's Award for his unique contributions in the field of education” (see <http://trustees.osu.edu/membership/former.php>). Somehow, I doubt that Mr. Brennan's Commission spoke much about egalitarianism.

Finally, no discussion of mine on charter schools could be complete without a brief overview of Ohio's charter law enactment and the nepotism that has been derived by and as a result of said law. *The Toledo Blade* described it well. To paraphrase from an exposé published on July 10, 2006 in an effective manner to tell the story. I can only hope that my paraphrasing indeed does justice to the banality of the overall situation. Nonetheless, here it is -- Sally Perz, a former Republican lawmaker, helped create Ohio's charter school laws and then helped form the school council her daughter now runs . . . Allison Perz . . . is currently paid \$85,000 annually to run a conglomerate of charter schools, receives a \$4,800 car allowance in addition to her salary, and was given a \$26,000 bonus in October, 2004 . . . Sally Perz now works for her daughter as a regional representative . . . monitoring some of the charter schools (see http://susanohanian.org/show_outrages.html?id=6306). Can anyone not wonder how we have fallen so far, as a profession, to allow this type of shameful, if not deceitful, action to come about? Greed must be the driving element here; as Siddhartha Guatama Buddha is known to have once said: “There is no fire like passion, there is no shark like hatred, there is no snare like folly, and there is no torrent like greed” (Easwaran, 2007). As I draw this section of the talk to a close, I must offer to all of you my fervent belief that much of what I have outlined here, with regard to public disregard for what is known and factual in the world of public education, is driven by greed. So, then, aside from greed, why do we as a nation often behave in ways contrary to prevailing research findings in education? To answer that we must look carefully at the self-interests of those who oppose these findings. As I have done just that for the last two decades, I have come to the conclusion that those with the most to gain will do everything to continue to make that gain a reality, regardless of who fall behind or are lost (see <http://www.clevescene.com/2007-08-29/news/education-at-its-worst>). Poor children fail—rich children win. Children of color are more unsuccessful on standardized accountability measures than are Caucasian children. War is waged on public schools—those with investments win that war because the metrics are set to allow that win to occur. And, those who sit quietly and watch the predetermined outcomes will have no one, absolutely no one, to blame but themselves.

AS LEADERS OF LEADERS, WHAT SHOULD WE DO?

The final section of this presentation is, in some ways, the most simplistic to explain and illustrate but, in other ways, it is the most difficult, because it requires implementation and action. To change the course with respect to the obvious acts of educational malfeasance that I have described throughout, professors of education administration must become active and

vocal members of the mainstream community that create media commentary on a local, regional, and national scale. I have repeatedly mentioned the importance of being or becoming public intellectuals. To that end, I believe that we must embrace the definition expressed by Posner (2001), who adeptly defined this term in the following manner:

A public intellectual expresses himself in a way that is accessible to the public, and the focus of his expression is on matters of general public concern of . . . or inflected by . . . a political or ideological cast . . . Most often they either comment on current controversies or offer general reflections on the direction or health of society. In their reflective mode they may be utopian in the broad sense of seeking to steer the society in a new direction or denunciatory because their dissatisfaction with the existing state of society overwhelms any effort to propose reforms (p. 35).

So, we must share the facts as we know them. We must also, in forceful ways, negate that which is not substantiated by verifiable research. When a plan of action is defined as “best practices,” we must indeed expect that those practices are truly “best” for all and not for just a small segment of our student population. To return to an earlier comment, we must share what we know about the powerful nature of funding enhancement on overall educational success. We must debate openly and powerfully against those who maintain that money does not matter in P-12 education. We must, likewise, show the compelling outcomes derived by programs like Head Start, and structures like small classes. As we are composing our op/ed pieces for local and national newspapers, we must share what is known about these programs, so as to offset those who loudly scream for less government in their lives (i.e., that is, unless, their home or community is destroyed by flooding or tornadoes; in that case, more government is certainly better).

In keeping with that same line of thought, as public intellectuals, we must freely and openly debate issues like class size and racial isolation of non-dominant groups. We must share, as Kozol has so vividly done over the years, the despair of children who toil in center-city schools. These discussions, as held on local television and radio, might (and let’s hope will) just be the appropriate degree of counterbalance to the right-wing talk show hosts who proclaim that class size doesn’t matter and that racial discrimination is “dead” in today’s America. In a recent commencement address, the internationally known author Salman Rushdie, urged students at Nova Southeastern University to embrace heterodoxy. I, too, urge all of you to embrace heterodoxy as you begin or continue your work as public intellectuals. Heterodoxy, as Rushdie defined it, is “the ability to reject received ideas and stand against the orthodoxies of your time” (Rushdie, 2006, p. 3). As a simple example of this sort of action, we might challenge charter school advocates and “call out” their lack of successes in reforming schools via use of those standardized instruments that have been so highly touted by these same advocates.

In addition to being forceful advocates for what we know about educational research, we must also avoid being apologists for these same data when it is not well received by the larger community. Not too many years ago, Ruhl-Smith and I composed a scathing piece directed at the misuse of and/or illogical interpretation methods used in specific states, as applied to mandated testing protocols. This piece was warmly received by most reviewers; however, one individual asserted that public schools will be held accountable by some means and that the authors must recognize this and also give credit to the states that have been putting a great deal of effort into this accountability work. Well, at first, I was flabbergasted by these words. Could a colleague in the field of education administration be so naïve as to

believe that statewide efforts to bring forth accountability, even if tragically flawed, were worth recognition or acclaim? Certainly that is possible but I doubt that such is/was the case. This reviewer, in my humble opinion, was merely acting as an apologist for his/her state officials. Knowing that these state leaders want accountability to be a smooth and easy process, this individual feels that, in turn, we (as academics) must be willing to deliver on that desire. How tragically unfortunate—and how far removed from Rushdie's thoughts on heterodoxy could these beliefs be!

In addition to heeding Posner's words about the importance of public intellectualism and Rushdie's thoughts on heterodoxy, I believe that we must move these concepts even a bit further. As faculty members who work almost exclusively with graduate students, we have a unique "add on" that I believe should not be overlooked. That "add on" relates to use of our graduate students. If we know that our research findings indicate an opposite course of action to that taken by a state or district leaders, how can we best deploy our graduate students to shed light on this situation? Professor Wildman, the 2006 Living Legend for this organization, has been doing this type of field-based work for years. Wildman poses questions to his graduate students—these questions mirror the problem-based learning model and, thus, frequently culminate with the development of a document or presentation that can be used for years to come. How many of us have known, for years now, precisely what Wildman (2004) published in the *Northwest Voice*? (In Kern County, California, the higher the school test score, the lower the percentage of students qualifying for free and reduced price lunches.) The larger question here, though, should be focused on how best to deploy our graduate students to change that statistic. How might we use the power of our students' intellect, individually and collectively, to change this statistic? With careful planning, I feel certain that we could enable our students to undertake one or a series of action research projects that would reverse the following famous, and now becoming ubiquitous, quote from Kohn (2000): "Research has repeatedly found that the amount of poverty in the communities . . . accounts for the great majority of the difference in test scores from one area to the next" (p. 7). Two examples of this type of deployment come to mind immediately. First, our graduate students could be involved in a series of district-wide school integration projects that do not focus on race—rather, they could use the work of Wildman and Kohn to serve as the base around which they strive to integrate our schools through a series of socioeconomic metrics. And, secondly, students could be charged to work with area districts to make Krueger's aforesaid dream of summer vouchers a reality. In both cases, the change outcomes would be valuable and meaningful and the spirit of heterodoxy would be alive as well.

Two final elements of our work (i.e., to engender real and lasting P-12 school reform) must be included here. First, as we strive to become public intellectuals, we should not overlook the power of politics in today's world. Many of the conservative agendas discussed throughout this presentation are truly driven by an ideological perspective that manifests itself in the ultra right-wing of certain large and smaller political parties. To oppose those agendas, in my opinion, is as fundamental as any issue in this debate can be. Simply stated, education leaders must endorse the political parties and politicians themselves who will legislate based on salient research outcomes. For example, we must investigate the voting record of Senators and Representatives to see how they voted on Head Start. If they voted to reduce funding, we might want to support their opponent aggressively in upcoming elections. We must consider the voting record of state legislators on issues of class size and overall school funding. Those who oppose opportunities to embrace real reform should no longer be

worthy of our support as candidates, regardless of political party! If state or national legislators cannot or will not support the types of action that will bring about improvement in the overall P-12 learning environment (especially as focused on those most frequently disenfranchised), they cannot and should not be supported by an educated and proactive professoriate who knows better!

Finally, we can, of course, not overlook the power of parents in this debate. Parents want better educational opportunities for their children. This holds true for the most wealthy of our society and for the least financially secure, as well. What the wealthy often know, those who have less financial capital do not know. Children from the lowest socioeconomic strata of our society deserve schools that are equally as pristine as those located on the Gold Coast of Chicago (see Kozol, 1991). Class sizes, in turn, should not be significantly different for our poor children than they are for those who live in affluence. Parents must be informed that schools in massive disrepair are not the norm in this country. They must know that overcrowded classes and classrooms are, likewise, not the norm. Parents in center-city areas must be given the power of our research to inform their actions. Although I am particularly fond of organizing parent groups to make vocal calls for change (a good protest can make for wonderful media), I am not simply calling for leadership in or around a massive protest movement. I am referring to the use of our knowledge and the knowledge generated by our colleagues to inform parents of their right to ask for and receive significant levels of change in the daily educational experiences of their children. These kids deserve better and we should be progenitors for the types of change that can and should occur, so as to make that change a genuine reality. To paraphrase Parker Palmer, we must share what we know, so that our knowledge is never viewed as privileged information but rather so that tyranny in all forms can be overcome by invoking the grace of great things (*The Courage to Teach*, 1997)!

A CONCLUDING THOUGHT

This work was first presented at the Annual Meeting of the National Council of Professors of Educational Administration in August of 2006. The written piece, as presented here, represents the totality of that presentation; however, minor additions have been inserted in this version so as to reflect the most relevant/salient data that have come to the forefront since the actual presentation of the 2006 Walter D. Cocking Lecture. As has been noted repeatedly from the time when this lecture was delivered, my research can be viewed as “dark.” Colleagues who choose to criticize those of us who read and embrace critical theory often say that we are merely doomsday thinkers. Nothing could be more distant from the truth. To identify that which makes a difference in the lives of all children, to me, is quintessentially uplifting. To ignore the actions of those who do not wish to make these differences come about, again from my point of view, is the absolute reification of depressing and dark. We must use that which we know, as articulated here and available in hundreds of similar outlets, and force meaningful and robust proactive changes. To do otherwise would be the equivalent to that which has been presented as education incompetence in key court cases such as *Hoffman v. Board of Education* or *B.M. v State*. If we are a profession that claims to be based, in large part, on an in-depth understanding of leadership and all that is derived from that understanding how can we overlook the need to take knowledge and, in turn, place said knowledge into action so that changes can be made for the betterment of all youngsters? As the Roman philosopher, Epictetus, once said: “Only the educated are free.” It is precisely that type of freedom that I strive for and dream of here— the type of freedom that is, in all ways, shapes, and forms, emancipatory and, concomitantly, the primary

foundation for this presentation and for all of my work in the past 20 years. I hope, with all my heart and soul, that you strive for this as well.

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PREPARATION OF SCHOOL LEADERS

CHAPTER 4

PHASE CHANGE MATERIALS

Generative Learning Communities: Preparing Leaders for Authentic Practice

Tricia Browne-Ferrigno and Rodney Muth

The intent of principal preparation is “to produce leaders” (Milstein, 1992, p. 10) who have requisite knowledge, dispositions, and skills to lead contemporary schools competently and effectively (Bottoms & O’Neill, 2001; Council of Chief State School Officers [CCSSO], 1996; Hale & Moorman, 2003; Institute for Educational Leadership, 2000). The process of self-transformation from teacher to administrator requires changes in one’s professional culture—language, perspectives, and skills—thus altering an individual’s conceptual, personal, and educational orientation (Matthews & Crow, 2003). To stimulate role transformation during formal preparation, situated learning activities (e.g., internships, clinical experiences, field-based projects) guided by mentors have been recommended for many years (Jackson & Kelley, 2002; Milstein, Bobroff, & Restine, 1991), and documented evidence of clinical experiences during preservice preparation is now required for program accreditation (National Policy Board for Educational Administration or NPBEA, 2002).

Although research on the professional growth of those actively engaged in leadership preparation and development is limited (Browne-Ferrigno, 2003; Browne-Ferrigno & Muth, 2004, 2006; Crow & Glascock, 1995; White & Crow, 1993), consistent findings have emerged. For example, prospective candidates who worked with practicing principals during their formal preparation reported greater readiness to assume a principalship soon after program completion than those who did not, a finding now supported by research on graduates’ career paths (Baker, Orr, & Young, 2007). Hence, clinical experiences, now well integrated into preparation programs, can stimulate transfer of classroom learning to future leadership practice and address policy and accreditation requirements (Barnett, Copland, & Garcia, 2006).

Despite the addition of field-based components to university-based principal preparation, considerable developmental challenges remain (Lashway, 2006). For instance, leadership-preparation instruction typically is delivered in classroom settings facilitated by university professors or clinical practitioners, and students usually work full-time as teachers, taking late-afternoon, night, or weekend classes to prepare for their career change. Finding time and opportunity to complete assigned field-based projects can be difficult for many students, particularly for those enrolled in a program not delivered through a university-district partnership that supports leave from work responsibilities (Browne-Ferrigno & Muth, 2004, 2006). Because developmental challenges exist, ways other than field-based experiences need to be developed to stimulate leadership learning that is transferable to and usable in future practice.

We posit that carefully designed classroom learning activities can facilitate leadership knowledge and skill transfer to authentic settings, generating practices “that live fruitfully and creatively in subsequent experiences” (Dewey, 1938, p. 27). That is, learning transfer can be

nurtured throughout formal leadership preparation, regardless of the program-delivery model (e.g., closed-cohort or individual, often free-standing courses). Through the development and maintenance of “generative” learning communities, learning-centered interactions can produce new insights, new knowledge and skills, and new practices. Creating such generative and self-sustaining learning communities can enhance opportunities for leadership knowledge and skill transfer to ongoing and later leadership practice.

To support these assumptions, we begin with an overview of learning principles developed by the American Psychological Association (APA) and then present a brief review of adult learning theories. Next, we summarize findings from the National Research Council (1999) about conditions that support learning transfer and thus support our contention that creating generative learning communities during leadership preparation enhances opportunities for learning transfer. We close with several recommendations for action by leadership educators who seek to improve their programs and learning outcomes for students.

LEARNER-CENTERED PSYCHOLOGICAL PRINCIPLES

Cognitive theories of learning emphasize explicit teaching procedures, continuous assessment and feedback, and guided practice (Glaser, 1984; Marzano & Pickering, 1991; Shuell, 1986). Conversely, learner-centered practices, based on constructivist and intrinsic-motivation theories, emphasize learner’s constructing knowledge, meaning, and understanding based in their experiences and interactions with others (Bruner, 1960; Dewey, 1938; Gardner, 1991; McCombs, 1991). In this vein, the Learner-Centered Psychological Principles (LCPs), developed by the APA Work Group of the Board of Educational Affairs (1997), place the locus of control for learning with individual learners. Although external factors also clearly influence learning, the LCPs are organized according to four broad factors that influence learners and learning: (a) cognitive and metacognitive, (b) motivational and affective, (c) developmental and social, and (d) individual differences. These principles are best viewed holistically instead of singly, and they can be used with any group of learners. Their effective use requires collaborative environments in which students and instructor learn together while addressing problems of practice relevant to learning objectives. (For a complete description of the LCPs, go to <http://www.apa.org/ed/lcp2/lcp14.html>.)

When LCPs are used in postsecondary education, individual characteristics of diverse adult learners (e.g., beliefs, expertise, motivation) and course requirements (e.g., content, assessment) can be addressed simultaneously. The required active, collaborative learning environments thus should support freedom of self-expression and accommodation of individuality. Adult students thereby become personally responsible for fitting their learning to their particular needs (Thompson, Licklider, & Jungst, 2003). The APA learning principles also describe responsibilities for both learner and educator, making them relevant for use in any preparation program.

ADULT LEARNING THEORIES

Transformative learning requires adult learners to develop new frames of reference encompassing “*habits of mind* and a *point of view*” (Mezirow, 1997, p. 5) that help them become autonomous critical thinkers as they move from novices toward expertise. Transformation occurs through (a) articulating one’s assumptions, (b) critically assessing them through self-reflection and discourse with others, (c) revising assumptions to accommodate new perspectives, and (d) behaving in ways congruent with the revised

assumptions. Developing new habits of thinking and behaving can be stimulated by examining *critical life events* experienced by adult learners or by introducing *activating events* intentionally into a learning environment (Cranton, 2002). Reflective writing, group deliberation, and group problem solving that challenge adult learners to analyze or defend their assumptions are examples of activating events and can be used to analyze critical life events and their ramifications for leadership learning.

Many adult educators assume that adult learners (a) appreciate and direct their own learning, (b) have had rich and lifelong experiences that provide contexts for their learning, (c) engage in learning to learn about and address societal issues, (d) prefer problem-centered learning, (e) want to apply new knowledge immediately, and (f) learn more because of internal dispositions than because of external forces. These assumptions, based in the work of Knowles, have been called *andragogy* (Knowles, 1984, 1990; Merriam, 2001). Accordingly, to address the diverse expectations of adult learners, classroom cultures that are accepting, respectful, and supportive of adult students' beliefs, expertise, and needs (Bransford, Brown, & Cocking, 2000; McCombs, 1991) are most likely to produce effective learning outcomes that transfer to practice.

Attending to Environmental Challenges

Because learning in classroom settings is "as much a socially shared undertaking as it is an individually constructed enterprise" (Lambert & McCombs, 1998, p. 39), learning environments and their outcomes are affected by the social interactions, interpersonal relationships, and communication styles of those present. Each of these processes and their potential outcomes also can be influenced by the "adverse baggage" (Mahoney, 1991, p. 51) that students often bring to classroom settings. Such negativity can arise from internal factors (e.g., health issues, interpersonal conflicts, attitudes, feelings of low self-worth) or external factors (e.g., family, work, or community obligations). Further, traveling during high-density commuter hours to attend evening classes also can create frustrations for adult students (Ortman, 1995) that carry into classroom settings. To overcome these negative impacts on learning activities and outcomes and to build effective learning environments, adult educators must be cognizant of such sources of interference and be prepared to diminish their impact, even while enhancing positive environmental factors that support effective learning.

Supporting Self-Authorship

Adult education programs, structured to foster knowledge and skill acquisition and the development of inner potential (Warren, 1968), provide formal and informal activities for self-directed learning that simultaneously can build capacity for lifelong learning. Providing opportunities for adults to explore their inner dimensions (e.g., values, interpersonal loyalties, biases) can help them face and understand their identity and perspectives, a process known as *self-authorship* (Kegan, 1994). Using differentiated instruction helps develop group synergy and can provide novelty in the classroom. For example, problem-centered activities (e.g., self-evaluations, case studies, role playing, simulations) support task-oriented learning that capitalizes on prior experience and tacit knowledge (Cross, 1981; Hansman, 2001; Knowles, 1990). In addition, such activities generally are preferred by adult learners over content-oriented learning through lectures and memorization. Involving adult students in the development of their curriculum and in conducting self- and group-learning assessments throughout their learning activities also enhance learner engagement (Glickman, 1998).

Diminishing Power Relationships

Tensions over power relationships within classrooms may develop when the environment is exclusively controlled or micro-managed by an instructor. Because such tensions can impede learning for adults (Rogers, 2003; Tough, 1999), adult educators can transfer the responsibility for controlling the learning environment to the adult learners. Adult learners, in turn, assume responsibility for ensuring that their peers feel at ease, manage the learning space to support their comfort, and commit personally to individual and collective learning goals (Hiemstra, 1991b). A learner-centered approach, then, requires that students accept responsibility for “their own development through self-managed learning” and be “actively involved in the development of their classmates” (Foreman & Johnston, 1999, p. 377).

Adult educators also can diminish power tensions by sharing their learning-teaching philosophies with their students. Doing so makes instructors vulnerable to critique, but such openness “promotes an understanding of human relationships; sensitizes one to the various needs associated with positive human interactions; provides a framework for distinguishing, separating, and understanding personal values; [and] promotes flexibility and consistency in working with adult learners” (Hiemstra, 1991a, p. 9). Further, such self-revelation can lead to exciting and productive conversations about learning and teaching that have implications for students beyond their immediate classroom setting.

The role of an adult educator, striving to equalize power relationships by creating a learner-centered classroom, is transformed from knowledge dissemination (i.e., one who shows or directs) to coaching, mentoring, supervising, or tutoring learners in experiential activities (Beaty, 1999; Kolb, 1984). By assuming a facilitator-of-learning role (Rogers, 1969), adult educators also become members of learning groups, collective and collaboratively engaged in shared, purposeful learning. This guide-on-the-side role (Cifuentes, 1997) seeks to support constructivist learning environments in which knowledge is created individually and socially (Duffy & Cunningham, 1996; Relan & Gillani, 1997; Savery & Duffy, 1995).

Supporting Collective Learning

With careful attention to group development by an adult educator, a loosely coupled group of students can become a community of learners. Working as collegial partners, the members of such learning groups acknowledge “mutual risk and [establish] a sense of safety in facing the risk” (Senge, 1990, p. 245). Such collective learning becomes “a process . . . in which taken-as-shared meanings . . . are constructed and acted upon by the group” (Kilgore, 1999, p. 191). Collective learning and learning communities emerge when group identity is formed through revelation and understanding of and respect for individual differences within the group. The resulting community environment supports open dialogue and discussion about diverse topics, often including many of the “nondiscussables” in educational circles (Barth, 2001, p. 9), and creates a framework in which conflicts can be resolved effectively. Within trusting environments that learning communities develop and sustain, adult learners can think reflectively and constructively critique their own and their peers’ work (Achinstein & Meyer, 1997; Schön, 1987).

DEVELOPING LEADERSHIP COMPETENCE: TRANSFER OF LEARNING

Whether learning is oriented toward cognition (e.g., developing new knowledge), behavior (e.g., interacting appropriately with others), or dispositions (e.g., developing new orientations to self and others), “learning involves change” (Beghetto & Alzono, 2006, p. 285). Thus, learning activities within leadership programs can develop and support transformation in individuals that enhances the probability that new principals can and will support effective learning processes, monitor learning progress, and cultivate learning-focused communities in P-12 schools (Smith & Piele, 2006).

Conditions for Developing Learning Transfer

Learners need sufficient time to explore new information and develop concepts related to the information before they are able to connect it with their prior knowledge. Time on task is necessary but not sufficient for effective learning. Rather, learners also need to practice with their new knowledge in settings where their performance can be monitored and assessed because external feedback and reflection about new knowledge and its applications are essential (Bransford et al., 2000).

The context in which learning occurs also influences learning transfer. Case-based (Ashbaugh & Kasten, 1991; *Journal of Cases in Educational Administration*; Kowalski, 2001) and problem-based (Bridges, 1992) learning activities are common ways to provide application practice in classroom settings. However, only careful attention by instructors to solutions ensures high-probability learning transfer. In order to generalize cases or problems to new contexts, guided questioning about application of solutions in other circumstances and settings makes effective and flexible transfer more likely and appropriate. Thus, attention to flexible transfer of learning can increase the speed with which learners develop general principles for finding solutions and independently using knowledge (Bransford et al., 2000).

Conditions for Flexible Transfer of Learning

Being able to discern features and meaningful patterns within information and then retrieve selected knowledge with little effort exemplifies learning transfer to novel practice settings. Individuals who can organize, represent, and interpret information and think effectively about problems within a particular knowledge area no longer are novices but become experts. Expert knowledge underlies effective problem solving and affects how quickly experts can retrieve and use knowledge (Bransford et al., 2000)..

Because learning transfer is influenced by the context in which learning takes place, a community-centered approach increases the effectiveness of classroom environments (National Research Council, 1999). Effective learning communities develop shared norms about expectations and behavior. Such community-centered classrooms promote “intellectual camaraderie” (p. 22) in which each participant helps others learn “by building on each other’s knowledge, asking questions to clarify explanations, and suggesting avenues that would move the group toward its goal” (p. 22). Through appropriate use of cooperative problem solving, the resulting intellectual community enhances cognitive development and generates excitement about and ownership of learning (National Research Council), attributes of a community of practice (Lave & Wenger, 1991; Wenger, 1998).

GENERATIVE LEARNING COMMUNITIES IN LEADERSHIP PREPARATION

Leadership is “an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes” (Rost, 1991, p. 102). Even while social-justice leadership, school-improvement leadership, and democratic leadership (Murphy, 2002; Orr, 2006) are contemporary demands for effective principals, being an effective school leader still requires attention to managerial tasks (CCSSO, 1996; Leithwood & Riehl, 2003; Portin, Schneider, DeArmond, & Gundlach, 2003). Being able to work with and through others to get things done requires reflective thinking, confidence, and credibility, characteristics integral to self-management (Kouzes & Posner, 1987).

In addition to addressing daily streams of administrative responsibilities, today’s principals have to create continuous-improvement school cultures (Calabrese, 2002; Zepeda, 2004; Zmuda, Kulis, & Kline, 2004) if they are to be successful. Such efforts are necessary to assure that optimal learning occurs (Blankstein, 2004; Fullan, 2003) by creating and maintaining trust-based relationships (Bryk & Schneider, 2002; Kouchanek, 2005) and to develop leadership capacities and responsibilities among various groups to accomplish goals (Lambert, 1998, 2003; Marzano, Waters, & McNulty, 2005). Creating and maintaining professional learning communities (DuFour, Eaker, & DuFour, 2005; Sullivan & Glanz, 2006) is one essential means of assuring high levels of continuous learning by everyone engaged in today’s P-12 schools.

As the principalship has changed to reflect these new constructs, preparation programs have added courses about “change, conflict resolution, delegation, teamwork and communication, analytical and process skills, [and] the capacity to foster learning communities” (Orr, 2006, p. 495). Such leadership expectations depend heavily on interpersonal and relationship-building skills that need to be developed and assessed in supportive and constructively critical practice settings. And program instructors need to facilitate experiential learning through cycles of concrete experience, observation and reflection, abstract conceptualization, and experimentation in new situations (Johnson & Johnson, 1996; Kolb, 1984).

When experiential learning is used in classroom settings with minimal risk to learners, it provides safe opportunities for learners to practice transferable skills in conflict resolution, teamwork, and community building (Kolb, 1984). With careful planning and attentive facilitation by instructors, a group of students can transform themselves into an experiential learning group that may be described as a community of practice or a generative learning community.

Communities of Practice

Communities of practice take many forms: short-term or long-term, spontaneous or intentional, homogeneous or heterogeneous, unorganized or institutionalized. However, they always have three fundamental elements: “a *domain* of knowledge, which defines a set of issues; a *community* of people who care about this domain; and the shared *practice* that they are developing to be effective in their domain” (Wenger, McDermott, & Snyder, 2002, p. 27). Communities of practice evolve over time as their members develop expertise through shared learning and knowledge refinement as the group matures. Individuals who participate in communities of practice expand their opportunities for professional growth and career advancement by sharing expertise and developing collegial relationships. Further, in leadership-preparation programs communities of practice provide opportunities for situated

learning (Lave & Wenger, 1991; Wenger, 1998) in which learners can apply theories, procedures, and skills (Glasman & Glasman, 1997; Murphy, 1993). Thus, working in such communities provides a means for aspiring principals to develop more accurate role conceptions, begin socialization with future peers, and initiate role-identity transformation from teacher to principal (Browne-Ferrigno, 2003).

Generative Learning Communities in Leadership Preparation

During formal preparation for the principalship, a community of practice can be created in which the domain of knowledge is school leadership, the community members are the students and instructors, and the shared practice is what happens within classroom settings that focuses outward on improving practice. The purpose is “to create, expand, and exchange knowledge” about educational leadership “to develop individual capabilities” (Wenger et al., 2002, p. 42) among those aspiring to be principals. Such learning communities of practice can be called *generative* because the interactions among the community members produce novel insights, new knowledge, and additional skills that can lead to improved learning outcomes in schools.

The success of these generative learning communities depends on effective use of LCPs (APA Work Group, 1997), adult learning theories, appropriate instructor-role conceptions (e.g., coach, facilitator, mentor, supervisor), and detailed attention to group development and assessment. Generative learning communities do not simply happen—they are carefully constructed, consciously nurtured over time, and maintained and transformed through collaborative student efforts.

PREPARING PRINCIPALS: RECOMMENDATIONS FOR ACTION

Our premise—that carefully designed classroom learning activities can produce transferable knowledge and skills usable in authentic settings—emerges from the assertion that our intent in principal preparation is “to produce leaders” (Milstein, 1992, p. 10). Adult learners come to us equipped with formal and tacit knowledge, gained through experiences in classrooms, schools, and districts. Thus, we use adult-learning constructs (Cranton, 2002; Knowles, 1990; Merriam, 2001; Mezirow, 1997) and constructive-developmental approaches that value the tacit knowledge (House, 1998; Polanyi, 1962, 1967) of adult learners and support their active participation in learning processes (Baxter Magolda & King, 2004; Cross, 1981; Kegan, 1980).

Our research about students’ readiness to assume a principalship while still actively involved in preservice preparation (Browne-Ferrigno, 2003; Browne-Ferrigno & Muth, 2004, 2006) suggests that becoming a principal is a complex process. Learning to think and act like a principal does not happen simply by observing school leaders in action or working with them during program-sponsored clinical practica. Rather, transforming from teacher to principal requires deliberative (Kennedy, 1987) and explicit learning-teaching processes (Muth, 2000) that involve all parties.

Yet, preparing for school leadership begins early, far earlier than generally recognized or formally calculated. A comment by an elementary school teacher with 12 years of experience in one of our studies (Browne-Ferrigno & Muth, 2006) is illuminating. Her response to a reflective prompt about what she was learning in the program indicated that her transformation from teacher to principal began long before she began her formal preparation: “From the first day I went to work for her, she has mentored and supported my professional

growth in all areas. . . . I started training for a principalship when I started as a classroom teacher” (p. 282).

Sometimes, program participation stimulates changes in professional behavior that in turn stimulate changes in a candidate’s self-perception. A middle-school teacher, prompted about his change in understanding about school leadership, said that “Last year, it became apparent to me that I was thinking more like an administrator than a teacher. I was very involved in different school activities and was already seen as a leader by the staff. . . . I think the change in my perspective came as a result of the way other people saw me” (Browne-Ferrigno, 2003, p. 489).

Transitioning through the transformation from teacher to principal sometimes can be challenging. During a focus-group interview near the close of her program, a veteran teacher on special assignment as site coordinator of teacher interns talked about the tension she felt having to relinquish her “teacher” identity: “I feel like I have a split image. . . . I don’t think of myself as a teacher as much anymore. But, you know, there’s a part of me saying goodbye to that. And that’s a little bit sad” (Browne-Ferrigno, 2003, p. 490).

Many students in leadership-preparation programs, however, do not have such rich, mentored experiences that stimulate self-confidence. The challenge is made more difficult for instructors and learners when some students enrolled in preparation programs—large numbers in some cases—do not intend to become administrators, have little experience in education, or find that working with adults is not for them. Not only does their inclusion sap resources that might be applied more selectively (Muth & Browne-Ferrigno, 2004), but their variable interest in learning about leadership and becoming principals also hinders communal learning. To support the creation and maintenance of generative learning communities in preparation programs, we offer the following action recommendations.

First, Focus on Leadership Cadres

Contracts with area districts might focus on producing cadres or cohorts of experienced teachers and other professionals who already have spent time and energy in leadership roles in their districts. These adult learner-leaders on beginning their formal preparation could analyze retrospectively and reflectively their leadership experiences and catalog their strengths, weaknesses, and needs under the collective guidance of their peers and instructors. The sum of the weakness and needs could clarify learning opportunities for all, while individual strengths could be used to help others without similar repertoires. Formal preparation of principals thus is enhanced through joint university-district efforts that address specific leadership needs in schools and districts (Browne-Ferrigno & Allen, 2006; Fulmer, Garrison-Wade, Reiter, & Muth, 2007; Martin, Ford, Murphy, & Muth, 1998).

Second, Take Risks

Being upfront early about one’s learning-teaching philosophy, as risky as this may seem, is important because this openness provides immediate grist for extended discussions about the impact of philosophies—whether of teaching, leadership, or values—on individual, collective, and organizational outcomes. Working through issues related to self-knowing and reflection, articulating values and purposes, and clarifying how one goes from philosophy to action provides an excellent foundation and starting point for focused discussions, personal and interpersonal development, and testing leadership styles and frameworks for change and improvement in schools (Bellamy, Fulmer, Murphy, & Muth, 2003, 2007). Additionally, such

reflective forays can surface insincere orientations to leadership and practice that may assist some who do not intend to become school leaders to pursue their graduate studies elsewhere (Muth & Browne-Ferrigno, 2004).

Third, Be Explicit about Expectations

Developing new perspectives, grounded in prior leadership experiences, means that preparers of principals and other educational leaders need to be explicit about what graduates need to know and be able to do—and how to get there (Muth, 2000; Muth et al., 2001). While program accrediting agencies supply important guidance about what graduates need to know and be able to do, they provide little clarification about how best to accomplish this, particularly in ways that ensure learning transfer and use. Thus, those with responsibility for oversight of preparation programs need to determine on which of the panoply of guidelines they want to focus—the most critical elements of being a successful school leader—and organize program-wide experiences to address these concerns. This requires fundamental agreements among program leaders, developers, and implementers about what counts and what does not as well as clarification of students' responsibilities for their own learning (Muth, 2000, 2002) and their roles in generative learning communities.

Fourth, Develop Methodologies

Once such agreements are manifest, leadership development within discrete classrooms becomes a three-step process, shared equally by instructors and students: (a) determining, within given frameworks, what needs to be learned (cf. Van Meter & Murphy, 1997); (b) clarifying the multiple ways in which it can be learned, given multiple learning styles and situations, including classroom settings and field practice, and the rubrics to be used to assess accomplishments (Bellamy et al., 2007); and (c) determining what processes are to be used (Muth, 2002). Problem-based learning (Barrows, 1985, 1986; Bridges, 1992; Duffy & Cunningham, 1996), for example, linked explicitly to real problems of practice and action-research projects (Stringer et al., 1997) conducted in authentic settings (Muth, 1999), places the locus of control for leadership development with the adult learners. Further, having such learning experiences clearly connected to outcomes that directly benefit schools (Martin et al., 1998) adds significantly to the depth and breadth of knowledge and skills gained and the likelihood that such knowledge and skills will be usable in actual practice.

EXPLICIT LEARNING GOALS AND ASSESSMENT OF LEARNING OUTCOMES

Key to the success of this design for effective practice-oriented, classroom-based, generative learning communities is the development of explicit learning goals and ongoing assessments of learning outcomes. These are important when encountered during preparation but perhaps more importantly particularly those presented when a graduate becomes a practicing administrator (Browne-Ferrigno & Muth, 2004; Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Knapp et al., 2006; Portin et al., 2003). If learning goals are clear from the outset, and learning is monitored and assessed as students progress, then the framework for later assessments is stronger as well. Knowing what works—and what sticks over time—and why is essential to improving learning outcomes for students in elementary and secondary schools. Developing generative learning communities that greatly enhance

leadership learning under guidance of professors and practitioners forecasts that high-quality, transferable learning can make the differences that leadership preparers seek.

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Creating an Induction Model for School Administrators: Collaborative Efforts to Build Ongoing Support for School Leaders Within the University's Regional Network

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ABSTRACT

A growing body of research supports the need for public school principals to be effective instructional leaders (Fullan, 2002; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Waters & Grubb, 2004; Waters, Marzano, & McNulty, 2003). The increasing pressure of accountability has combined with numerous traditional expectations for school principals to create new paradigms for school leadership. With an increasing number of leadership vacancies, new principals are often selected for difficult assignments without significant prior leadership experience in schools. Often without adequate induction support from local school districts, *fast-tracked* principals are extremely vulnerable to burnout and/or derailment during this crucible of leadership.

In this chapter, we focus on an exploratory effort at East Carolina University (ECU) to create induction support structures for new principals. This includes a conceptual framework based on regional service and utilizes a collaborative model to include recent graduates who are currently facing the many challenges of leadership. This initiative addresses the need to expand the continuum of leadership support beyond current pre-service learning experiences and take advantage of the learning-curve environment. By design, this effort is a work in progress, seeking to incorporate participant feedback to build relevancy and create a network of support for school leadership needs across Eastern North Carolina.

INTRODUCTION

The public school principalship has been a challenging position filled with many uncertainties and job-related frustrations. In recent years, however, a significant convergence of additional variables has increased this pressure dramatically (Farrington, 2008; Klinker, 2007; Shainker & Brown, 2008). In addition to the broad scope of traditional expectations, new accountability standards have focused attention on the role of the principal as the instructional leader of the school. This recent interest in instructional leadership may be viewed by some practitioners as a very positive, and long overdue, step in the evolution of the public school principalship.

While researchers have highlighted this need for instructional leadership by school principals in the past several years (Fullan, 2002; Waters & Grubb, 2004; Waters et al., 2003), a new consideration has emerged related to the growth and sustainability of new principals in the accountability age. Fullan (2001) noted that when caught between competing paradigms

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of traditional expectations and new accountability standards, “the principal appears to have the worst of both worlds ...” (pp. 138–139). Such an environment can be frustrating and troubling to a veteran principal. To a new principal, with little or no building-level experience to draw upon, this setting can be traumatic personally and professionally.

While new principals are working with these rising expectations across the United States, a demographic shift is taking place in the workforce around them. According to the Bureau of Labor Statistics (2008), a large number of school administrators are expected to retire in the coming decade. This exodus will produce a significant number of new vacancies in the principalship. Some of the questions accompanying the arrival of a new generation of principals include: With so many veteran principals leaving the profession, who will serve as mentors to new principals? How will school districts adapt to provide sustained leadership development for school principals in the age of accountability? Will a trend develop to move new leaders into the principalship on a *fast-track*, without sufficient preparation as an assistant principal? With these variables at work, public school principals may be more susceptible to both burnout and/or derailment without appropriate interventions and preparation (Brubaker & Coble, 2007; Holloman, Rouse, & Farrington, 2006)

CONTEXTUAL VARIABLES IN EASTERN NORTH CAROLINA

Eastern North Carolina is predominantly a rural and agricultural area that has traditionally demonstrated higher levels of poverty than other geographic regions in North Carolina. East Carolina University is located in Greenville, North Carolina, and was founded in 1907 for the purpose of supplying much-needed teachers to rural schools throughout the region. While East Carolina has evolved over the past century to include a medical school and a myriad of degree programs, the commitment to education in eastern North Carolina has remained the University’s major focus. This strong commitment to eastern North Carolina is integrated into all aspects of the university’s vision and has become the engine which drives efforts to support and serve public schools within the network covering much of the Northeast, North Central, and Southeast Regions of the state (see Figure 1).

IMPLEMENTING A COLLABORATIVE SERVICE MODEL

The Department of Educational Leadership at East Carolina University has utilized a collaborative approach to focus on the specific needs of education leaders in eastern North Carolina. With a strong emphasis on both national and state standards, this model has offered a challenging and relevant set of pre-service experiences for students. Examples of initiatives produced by this collaborative process include:

21st Century School Administrator Skills Program (SAS)

This includes 80+ MSA interns participating in a 3-day enrichment activity for professional growth. Each participant is given an administrative position within a simulated school district. Throughout the simulation, students participate in role play and interact with colleagues and visitors to complete a series of in-basket exercises and system-level challenges. The interactions and interpersonal relationships that result from these activities provide opportunities to demonstrate key leadership behaviors. Once the simulation is complete, participants share feedback with one another. These data provide clear and

convincing evidence of leadership behavior patterns and the presence/absence of key leadership skills.



Figure 1. Regions of North Carolina.

Monthly Internship Seminar

Over 80 interns gather each month at a local high school to participate in a series of activities which include group discussions about internship experiences from the previous month; a review of artifacts related to leadership standards; engagement in reflective activities related to licensure exam; and participation in activities which spotlight key issues facing school leaders in the accountability age.

Electronic Internship Portfolio

Interns participate in ongoing reflective practice throughout the internship. This includes weekly journaling related to their experiences and the consistent relating of experiences to standards and key behaviors. Interns collect relevant artifacts and other documentation that confirm and exemplify authentic learning experiences during the year. Beginning with the 2007-2008 school year, the portfolios will be completed, developed, and housed electronically.

INITIAL INDUCTION STEPS

The previous examples are types of pre-service activities that resulted from an ongoing collaborative approach involving research, dialogue, teamwork, and the willingness to participate in ongoing trial-and-error efforts. Resulting from such planning and discussion, the Department noted the emerging needs found among new principals within the region. Especially noticeable was the significant number of interns being very quickly promoted by the district superintendents into leadership roles along with an increasing number of interns transitioning from the internship *directly* into principalships.

With the possibility of new principals being especially vulnerable to the increasing number of potential stressors and derailers during their first years on the job, the Department developed strategies to help and support on-the-job graduates. Some initial steps included:

Coaching and Mentoring for New Principals

This involved university faculty members providing coaching support for graduates in over 12 regional districts. This coaching helped graduates reflect and focus on key areas of need during this critical career juncture.

Online Credit Modules for School Leaders

The North Carolina Department of Public Instruction now requires school leaders to earn 5 (of 15) credits in the areas of: teacher effectiveness, teacher evaluation, teacher support programs, teacher leadership, teacher empowerment, and teacher retention. These online modules provide flexible, convenient, and meaningful professional development designed to fit the busy schedules of regional practitioners.

New School Leaders Seminars

These seminars are designed for new principals and assistant principals. They focus on leadership coaching and induction support with an emphasis on administrators in the first three years of a school leadership role. The target for this initiative will be ECU graduates but all administrators in the first three years are welcome and encouraged to participate. These seminars will be informal and will allow participants to discuss issues and challenges faced in their respective roles. ECU faculty will serve as facilitators and seek to provide relevant information and support.

The conceptual framework for this induction effort is based on balancing the needs of regional school districts with the service efforts and abilities of the university. The initial steps included meeting with district superintendents and other regional leaders to discover the specific needs of new administrators. University faculty met as a team to review the results from the area and found that most district superintendents interviewed did not have a systemic principal induction program and welcomed the university's involvement in this area. This resulted in four regional "New School Leaders Seminars" in geographically selected areas (northeast region {2 locations}; south central region; and north central region) of eastern North Carolina (see Figure 1). School leaders from 42 school districts were invited to attend one of these sessions offered simultaneously on March 26, 2007.

These informational overviews were attended by 32 participants who expressed interest in participating in monthly seminars during the 2007-2008 school year. The 32 participants from the aforementioned regions consisted of the following: 14 participants from the Northeast region, 8 participants from the North Central region, and 10 participants from the Southeast region respectively. Additionally, the participant years of teaching experience revealed 6.9 years of teaching experience for participants in the Northeast region, 5.5 years of teaching experience for participants in the North Central region, and 2.4 years of teaching experience for participants in the Southeast region (see Table 1). Participants were surveyed and asked to rank the top challenges they face as school leaders. The most listed issues selected for having broad implications across eastern North Carolina included: stress, teacher overload, parental support, discipline, and motivating students (see Table 2).

As a result, 8 meetings have been scheduled during the 2007-2008 school year for the purpose of coaching new principals in these particular areas of need. The format will be to coach one another using the Critical Friends Protocol for sharing feedback from a variety of experiences and backgrounds. This approach is based on ethics of collaboration, reflective

Table 1. Participant 's Years of Teaching by Region.

Region	Participant	Years Teaching
Northeast	1	3
	2	6
	3	1
	4	5
	5	15
	6	15
	7	16
	8	3
	9	9
	10	8
	11	3
	12	0
	13	11
	14	2
North Central	1	7
	2	0
	3	21
	4	3
	5	2
	6	5
	7	1
	8	5
Southeast	1	3
	2	2
	3	2
	4	1
	5	2
	6	2
	7	2
	8	1
	9	6
	10	3

dialogue, and mutual support as a small group commits to establishing a professional learning community (National School Reform Faculty, 2007). Each participant will then use his/her reflections to develop a plan for implementation. Efforts can be shared and discussed at a future meeting. Faculty members plan to establish an ongoing system of monitoring and assessment which includes pre-assessment of participants and the formation of coaching teams.

NEXT STEPS

With this initiative emerging from a collaborative process, the next steps will within a team context including both university professors and public school administrators. The team

will regularly communicate and discuss possible scenarios for improvement based on monitoring and data analysis. Key guiding principles will include: ongoing assessment, open communication with participants and school districts, readiness and ability to adapt to new challenges, and enhancing the university's capacity to provide meaningful support to public schools in Eastern North Carolina.

While principal preparation programs should do more to help students anticipate and become aware of future stresses related to the first years of leadership, the most realistic and challenging learning will come while on the job. According to Holloman et al. (2006), "more work must be done to ensure that these educators are given every opportunity to make their work experience as successful as possible" (p. 65). This exploratory effort on behalf of recent graduates is in the beginning stages of development and it holds great promise as a support structure for new administrators. This initiative may evolve into another vital connection between ECU and the community it serves.

Table 2. Top 5 Issues and Challenges Facing School Leaders.

Region	Top 5 Issues and Challenges	Total
Northeast	Staff collaboration/cohesiveness	5
	Lack of parental support	3
	Discipline disruptions	3
	Motivating male students	3
	General stress and burnout	2
North Central	Marginal teachers	6
	Lack of parental support	5
	Staff collaboration/cohesiveness	5
	Stress from testing accountability	3
	Student lack of interest	3
Southeast	Marginal teachers	6
	Lack of parental support	5
	Staff collaboration/cohesiveness	5
	Stress from testing accountability	3
	Student lack of interest	3

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LEARNING TO LEAD DEMOCRATICALLY: A DEMOCRATIC IMPERATIVE FOR LEADERSHIP PREPARATION

Patrick M. Jenlink

We are at a crossroads in education, where, as Dewey (1916a) argued, we must create an extension in space for educators that “is equivalent to the breaking down of those barriers of class, race, and national territory, which kept them from perceiving the full import of their activity” (p. 87). At the same crossroads, leadership education, as a cultural-transformative agency of society, must decide how to best realize its potential efficacy in relation to preparing educational leaders “with a moral and political vision of what it means to educate students to govern, lead a humane life, and address the social welfare of those less fortunate than themselves” (Giroux, 1994, p. 45).

Leading the educational enterprise, on all levels, has become an increasingly and unavoidably political activity, made more problematic and political by the growing complexity of cultural and linguistic diversity that is redefining the very essence of our society and educational systems. Dewey (1916a, 1927) understood the importance of education in a democracy and the problems often confronted by the public, particularly in consideration of the “good society.” Dewey (1916a) also understood how far we were from creating democratic education:

[W]e are doubtless far from realizing the potential efficacy of education as a constructive agency of improving society, from realizing that it represents not only a development of children and youth but also of the future society of which they will be the constituents. (p. 85)

Realizing the potential efficacy of education as a transformative agency requires us to understand the function of education in a democracy, and more specifically to understand the transformative function of leadership education in a democratic society. This understanding of transformative function is political by nature. If we are to realize the efficacy of education, we must accept the political nature of education, and in so doing, we must, as Freire (1998) argued, understand that the “real roots of the political nature of education are to be found in the educability of the human person” (p. 100). When we situate education/leadership education in relation to its function in a democratic society, we must also understand as Dewey (1939) argued, that the “task of democracy is forever that of creation of a freer and more humane experience in which all share and which all contribute” (p. 245).

Education leadership in today’s schools reflects the uncertainties of contemporary society. In retrospect, there are similarities today that mirror the uncertainties of Dewey’s day. Such uncertainties, as Dewey (1927) was given to discuss, are born out of social problems and political trappings of a changing and diverse society. Uncertainty for children fostered by education inequities (failure to close the achievement gap in schools for non-White and poor White children) and uncertainty for all by social inequities (failure to close the income and resource

gap for all members of in society). Importantly, recent domestic policy events, such as the *No Child Left Behind Act*, or NCLB, the impact of state standards and accountability legislation, and the concern for strong democratic citizenry have directed attention to reconsidering leadership for schools concerned with democracy, freedom, and social justice (Freire, 1998; Giroux, 1994; Starratt, 2001). Now, more than ever, school leaders are challenged with meeting the needs of society's children in uncertain times. If we are to meet these challenges, "it follows that education must foster democracy" (Perry & Fraser, 1993, p. 12).

Amidst this uncertainty, Giroux (2002) drew our attention to the necessity of "rethinking the role of educators and the politics of schooling," (p. 1138) as America continues to be redefined by the "cataclysmic political, economic, and legal changes inaugurated by the monstrous events of September 11" (p. 1138). The implications for education, of such uncertainties and changes, bring into specific relief the need to examine the work of education leaders.

In this paper the author revisits the work of John Dewey, in particular Dewey's philosophical positionings on democracy. Beginning with an overview of the problematics of society, the author examines Dewey's democracy as the "heart of matter" in reconsidering leadership preparation. The author then presents a democratic imperative for consideration in the rearticulation of educational leadership preparation. Four primary elements shape the democratic imperative for leadership preparation: democratic knowledge, democratic inquiry, democratic practice, and democratic culture. Following the democratic imperative is discussion of the implications of the imperative.

PROBLEMATICS OF SOCIETY

Problematically, schools exist in a democracy that is marked "by an undemocratic economy, by undemocratic communications and media industries, by undemocratic cultural institutions, and by a form of representative government many see as serving special interests and itself more than the broad needs of the people" (Starratt, 2001, p. 341). Respectfully, public schools and colleges of education are equally affected by the undemocratic nature of society. Finkelstein (1984), writing over two decades ago in *Education and the Retreat from Democracy in the United States, 1979-198?*, argued that contemporary reformers of that era,

seem to be recalling public education from its traditional utopian mission—to nurture a critical and committed citizenry that would stimulate the processes of political and cultural transformation and refine and extend the workings of political democracy. . . . Reformers seem to imagine public schools as economic rather than political instrumentalities. They forge no new visions of political and social possibilities. Instead, they call public schools to industrial and cultural service exclusively (p. 280)

Now, perhaps even more so than when Finkelstein wrote these words, the realization of democracy is made problematic and uncertain by current political reform agendas in education. We stand a crossroads in education, and importantly in education leadership, when we must consider our role in shaping and sustaining a democratic society in a dramatically changing world.

From an ethical and critical perspective, democracy and democratic education will require that "who" is considered as educational leader in educational institutions be expanded to engender the imperative of an inclusive democracy—that is, we can no longer simply define leadership by role or office such as principal. Rather, we must recognize the complex and dy-

namic nature of leading in the public schools and that democracy is a function of community that recognizes the potential of all members and the necessity of valuing all voices.

Therein, those who work toward affecting democracy must constantly “reflect and become consciously aware of the power struggles that further alienate the voices of the disadvantaged and oppressed. . . . [L]eaders in education must emulate those democratic principles of emancipation and empowerment if democracy is to be truly embraced” (Lees, 1995, p. 223). Such a view of leadership is rooted “in the necessity of enhancing and ennobling the meaning and purpose of public education by giving it a truly central place in the social life of a nation” (Giroux, 1994, p. 38). A central challenge for democratic leaders is to come to terms with society’s contradicting ideas of democracy, and specifically, the ideologically imposed normativity that works against the very premise of democracy. “On one hand, society claims an ideology for emancipation; on the other hand, society’s flawed structure builds dependencies on a dominating power that further binds any human potential or growth” (Lees, 1995, p. 223). Democratic leaders must necessarily work to create schools as democratic cultures, as “a public forum for addressing preferentially the needs of the poor, the dispossessed, and the disenfranchised as part of a broader concern for improving the quality of civic life” (Giroux, 1994, p. 38).

DEWEY’S DEMOCRACY: AT THE HEART OF THE MATTER

In *Democracy and Education*, Dewey (1916a) identified the “widening of the area of shared concerns, and the liberation of greater diversity of personal capacities” (p. 87) as hallmarks of democracy. He noted that only after “greater individualization on one hand, and a broader community of interest on the other have come into existence,” (p. 87), could these characteristics be sustained by voluntary disposition and interest, which must be made possible by means of education. While Dewey’s ideas of democracy and education were never realized during his lifetime and were often the focus of criticism during the progressive era, the role of education in a democratic society has been a constant and central element of education discourse. However, as Dewey stated, “the conception of education as a social process and function has no definite meaning until we define the kind of society we have in mind” (1916a, p. 97).

Democracy is not merely a belief in a form of government, as Dewey (1916a) argued. Rather, the “foundation of democracy is faith in the capacities of human nature; a faith in human intelligence” (Dewey, 1937, p. 458). Democracy is belief in freedom, “the basic freedom of mind and of whatever degree of freedom of action and experience is necessary to produce freedom of intelligence” (p. 459). A democracy ensures freedom of “expression, general diffusion of knowledge, the marketplace of ideas, and open pursuit of truth so that citizens continuously educate themselves to participate, learn, and govern beyond the limited ideas of individuals” (Glickman, 2003, p. 274). As Dewey (1916a) stated, a democratic society “makes provision for participation for the good of all its members on equal terms and which secures flexible readjustment of its institutions through the interaction of the different forms of associated life” (p. 105). Important to defining democracy is the caution posited by Scheurich (2003). Proposing a definition of democracy, however historical or radical the definition,

and then proceeding to build a view of educational reform (or societal reform) on that definition without taking serious and careful account of dominant social assumptions and practices, is dangerously naïve (and by “dangerously naïve” I mean the naïveté itself is a social practice with dangerous effects). (p. 288)

American democracy over the past decades has been devalued and dismissed in reform proposals that “pit a romanticized view of the laws and logic of the market against the discourse of ethics, political agency, and social responsibility” (Giroux, 1992, p. 5). Reflected is a new American naiveté that calls for “schools to be dispensers of an unproblematic cultural tradition in which the emergence of cultural difference is seen as a sign of fragmentation and a departure from rather than an advance toward democracy” (Giroux, 1992, p. 5). The responsibility of determining the type of democratic society befalls the citizenry, both the adult citizenry and the future generations of citizenry. Therein lies the critical connection between education and society—the educating of a critical democratic citizenry.

For education leaders to address issues and problems of education and in particular public schools, we must make the social responsibility of school leaders and teachers, and the role that both public schools and higher education play, a high priority in the current discourses concerned with the fostering democratic education for our democratic society. We must revisit, critically, their “wider political and social function” (Giroux, 1994, p. 31) in relation to standing ideologies and political agendas that work against social justice and democratic principles.

Necessarily, the role of education set forth by Dewey (1916a, 1927) must be envisioned, in part, as the work of leader-preparation programs within schools and colleges of education. Transforming public education must begin with transforming leadership-preparation programs, rethinking curriculum wherein learning to lead is inseparable from a critical attitude that engenders “ingenuous curiosity to become epistemological curiosity, together with a recognition of the value of emotions, sensibility, affectivity, and intuition,” (Freire, 1998a, p. 48). Leadership preparation must provide the student of leadership with the methodological exactitudes necessary for authentic engagement in the cultural-political work of leading the educational enterprise in an increasingly complex and global world. to learn to lead in a society that is increasingly culturally, linguistically, ethnically, and racially diverse, Cochran-Smith (1995) argued,

[Educational leaders] . . . need opportunities to examine much of what is usually unexamined in the tightly braided relationships of language, culture, and power in schools and schooling. This kind of examination inevitably begins with our own histories as human beings and as educators; our own experiences as members of particular races, classes, and genders; and as children, parents, [leaders] and teachers in the world. (p. 500)

At risk is whether schools and colleges of education are to serve and reproduce the existing society or to adopt the critical role of preparing “educational leaders, and others as engaged and transformative intellectuals who engage rather than retreat from the problems of democratic life and culture” (Giroux, 1994, p. 36). Education leaders as cultural workers and public intellectuals in the university and school settings, engaged through a pedagogy of social justice, would “address the social, political, and economic conditions that undermine both the possibilities of democratic forms of schooling and a democratic society” (Giroux, 1994, p. 36).

Backlash against the standards and accountability movements, widespread criticism of NCLB, and public outcry from the education community concerning the deregulation of practitioner preparation give voice to the educators' dissent as public education is further recalled from its democratic imperatives. Pressing questions guide the current discourse, including,

"What type of education leadership preparation do we need to meet the challenges confronting schooling in America today?" "What is the role of leader educators in fostering democratic practice in the preparation of education leaders?" and "How may social justice and democratic culture be nurtured within the various settings in educator preparation?"

Few would argue against the idea that the central purpose of schools is to foster advanced citizenship; to perpetuate and secure the future of democracy in America; and to sustain the ethic of social justice, equity, caring, and freedom toward ensuring the rights, hopes, and success of all children. However, education and educator preparation has become an increasingly problematic and unavoidably political activity, complicated by the growing complexity of cultural and linguistic diversity that is redefining the very essence of our society and educational systems. We are challenged with meeting the needs of our children in uncertain times. At present, society is hallmarked by uncertainty for children fostered by educational inequities (failure to close the achievement gap in schools for non-White and poor White children) and uncertainty for all by social inequities (failure to close the income and resource gap in society). The implications for leadership educators and leadership education amidst such uncertainty and change draw attention to the meaning of leading for democracy, freedom, and social justice.

A DEMOCRATIC IMPERATIVE DEFINED IN FOUR ELEMENTS

In "Nationalizing Education" published in the same year as his *Democracy and Education*, Dewey (1916b) emphasized that democracy requires continuous and thoughtful attention. Challenging schools with a democratic imperative, Dewey entrusted educators with the future of our country:

I appeal to [educators] in the face of every hysterical wave of emotion, and of every subtle appeal of sinister class interest, to remember that they above all others are consecrated servants of the democratic ideas in which alone this country is truly a distinctive nation—ideas of friendly and helpful intercourse between all and the equipment of every individual to serve the community by his own best powers in his own best way. (1916b, p. 210)

For Dewey (1916a), democracy was first a social, and only subsequently a political phenomenon. He saw democracy as an ethical conception, and "upon its ethical significance is based its significance as governmental. Democracy is a form of government only because it is a form of moral and spiritual association" (Dewey, 1888, p. 59). When we situate education in relation to its function in a democratic society, we must also understand that democracy is not an all-or-nothing affair, but a definition of degree: societies and institutions can vary in both the extent and the intensity of their commitment to democratic practice. The democratic imperative, by extension, challenges leadership education, now as it did in Dewey's time, to examine the function of leadership education in translating the democratic imperative into the preparation of education leaders.

In *Democracy and Education*, Dewey (1916a) argued that a democratic society makes provision for the participation of all members in its good, on equal terms; therein, the flexible readjustment of its institutions through the discourse and different forms of associated life make viable a democratic way of life, marked by shared interests by all members of a group and the fullness and freedom of interactions within and among groups. A democratic education must necessarily provide students with a sense of articulation in the workings of their so-

ciety, making apparent the choices that society makes and the consequences of those choices. A democratic education must also provide students with a sense of responsibility for controlling and directing decisions in such a way as to create the democratic ideal as an undercurrent through the foundation of society. There is movement, continuity, and integration of a society by its educational system, made democratic by the devotion to learning democracy through activities designed for living the democratic ideal as forms of associated living, situated in classrooms and schools as social spaces shared by students and teachers and parents.

As Dewey (1916a) explained, in “such shared activity, the teacher is a learner, and the learner is, without knowing it, a teacher—and upon the whole, the less consciousness there is, on either side, of either giving or receiving instruction, the better” (p. 160). When the educational system is purposed to prepare active, creative, critical democratic citizens, the activities of individuals make social spaces practiced places of democratic life. Leadership that animates democratic education recognizes the critical and necessary role that educational leaders play in preparing each new generation of citizens to take their places in the never-ending work of making democracy a reality. Likewise, leadership education that understands the work of leading for democracy understands its role in transforming society; transforming a democratic imperative into a democratic society. In arguing for democratic education, which is also an argument for democratic leadership preparation and leading for democracy, Dewey (1916a) explained that we should try to make “the present experience as rich and significant as possible. Then as the present merges insensibly into the future, the future is taken care of” (p. 56).

Democratic Knowledge

Knowledge, Dewey (1916a) argued, cannot be transferred directly “as an idea from one person to another” (p. 159). It is only by having an actual experience, “trying to do something and having the thing perceptibly do something to one in return” (p. 153) that we can begin to understand. Knowledge, then, is a result of interactive learning that involves the formation of what Dewey (1916a) called a “habit,” defined as “an ability to use natural conditions as means to ends. It is an active control of environments” (p. 46). In this sense, habits translate as dispositions necessary to being an active, critical democratic citizen. Knowledge learned through experience is democratic in so far as the nature of experience is democratic, that is, the experience embodies the principles of democracy. Such democratic experience inscribes in the cognitive and emotional dimensions of the learner the democratic dispositions necessary to the work of continuing the evolution of a democratic society. Knowledge that is democratic is animated by an understanding of and commitment to engaged social responsibility. This suggests that types of knowledge that distance the educator and learner from being socially engaged is not democratic; quite the contrary such knowledge contributes to the de-democratization of society.

Democratic knowledge suggests a need for educators to redefine curriculum, animating the learning experience with the language of ethics in ways that commit students to a discriminating conception of democratic community in which the relationship between the self and the other can be constituted in practices sustained by historical memories, actualities, and further possibilities of a just and human society. Dewey (1916a) argued that a “curriculum which acknowledges the social responsibilities of education must present situations where problems are relevant to the problems of living together, and where observation and information are calculated to develop social insight and interest” (p. 192).

Democratic Inquiry

Dewey's democratic community is much envisaged as a community of inquiry. As Dewey understood it, community is a way of living in which people are bound together by "mutually interpenetrating" interests, where "each has to refer his own action to that of others, and to consider the action of others to give point and direction to his own" (1916a, p. 87).

Inquiry, as Dewey conceived it, is carried out by individual inquirers as members of communities of inquiry, bound by a covenant of community responsibilities. The individual inquirer is "committed to stand by the results of similar inquires" (1904, p. 18). Inquiry, as Dewey explained, is transactional, open-ended, and inherently social. Inquiry begins with an indeterminate situation—conflicting, contradictory, unclear—and works to make the situation determinate. The inquirer, rather than standing outside the problematic situation is *in* it and *in transaction with* it. Inquiry is thought intertwined with reflection in and on action, moving from doubt, to the resolution of doubt, to the generation of new doubt. The inquirer is in the situation, "instituting new environing conditions that occasion new problems" (p. 8). Inquiry is transactional, shaping and then being shaped by a problematic situation. Dewey (1938) in, *Logic: The Theory of Inquiry*, presented a definition of inquiry that has served as a referent for inquiry in education:

Inquiry is the controlled and directed transformation of an indeterminate situation into one that is so determinate in its constituent distinctions and relations as to convert the elements of the original situation into a unified whole. (pp. 104-105, italics in original)

For Dewey (1916a), the purpose of education was the intellectual, moral, and emotional growth of the individual and, consequently, the social evolution of a democratic society; the realization of the ideals of democracy through socially engaged citizens. Socially engaged citizens, from Dewey's perspective interpret as citizens engaged in social inquiry. Dewey saw the worth of a democratic society as measured by:

the extent in which the interests of a group are shared by all its members, . . . the fullness and freedom with which it interacts with other groups, . . . [and the extent to which it] makes provision for participation in its good of all its members on equal terms and which secures flexible readjustment of its institutions through interaction of the different forms of associated life. . . (1916a, p. 99)

Such a society that is democratic requires a system of education that gives the individual "a personal interest in social relationships and control, and the habits of mind which secure social changes without introducing disorder" (Dewey, 1916a, p. 99). It also requires a system of education that reflects an active citizenry, functioning as a community and engaged in social inquiry; a community of inquiry.

Premised on Dewey's democracy, education leaders would use inquiry to generate local, or practical knowledge, developed and used by practitioners and their immediate communities, as well as public knowledge, which is invaluable to the larger community of practitioners, researchers, and policy makers. Democratic practitioners would also use a critical lens to guide inquiry and practice, seeking to ensure that ethics of social justice, equity, and caring are woven into the generative processes associated with knowledge. The democratic leader learns from practice through inquiry regarded as an integral part of and a critical basis for de-

cisions about all practice; a critical pragmatist concerned with the consequences of decisions and actions in relation to the “others” in the school community.

Inquiry is necessary to addressing the problems in education today. Schafer (1967), a Dewey scholar, is instructive in his argument:

[W]e can no longer conceive of the school simply as distribution centers for dispensing cultural orientations, information, and knowledge developed by other social units. The complexities of teaching and learning in formal classrooms have become so formidable and the intellectual demands upon the system so enormous that the school must be much more than a place of instruction. It must be a center of inquiry—a producer as well as transmitter of knowledge. (p. 1)

Education leadership that is informed by democratic inquiry must necessarily become characterized, in part, by approaches to inquiry, which recognize that knowledge is “socially constituted, historically embedded, and valuationally based. Theory serves an agentic function, and research illustrates (vivifies) rather than provides a truth test” (Hendrick, 1983, p. 506).

By regarding classrooms, programs, and school culture as contexts of inquiry into learning and events and experiences as sources of information for critical reflection and interpretation, democratic leaders can examine and articulate their interpretive frameworks for understanding practice and their generative frameworks for constructing knowledge. This effectively blurs the lines between inquiry and teaching or administering and between theory and practice. Situated within communities of practice, the teacher or building administrator as democratic leader “cannot only blur the boundary between theory and practice resulting in a more relevant and authentic outcome, but also have the skills specifically designed to foster a critically contextualized common purpose” (Horn, 2000, p. 5). When practitioners redefine their relationships to knowledge and to their students and colleagues as knowers, they often reconstruct their practice to offer different opportunities for learners to learn and to realign their relationships with brokers of knowledge and power in programs, schools, universities, and the larger political contexts of state, regional, and national policy agencies.

Democratic Practice

Democratic practices build upon and acknowledge the social, intellectual, cultural and political capital of students and their families. Importantly, practices that are democratic are marked by attentiveness to “the interconnections and struggles that take place over knowledge, language, spatial relations, and history” (Giroux, 2001, p. 9). As Greene (1973) explained, democratic practice is practice toward the liberation of the public, initiating leaders, teachers and students “in certain patterns of thinking and acting. . . . [enabling] them to recognize and choose among the options presented to them” and which enables the leader, teacher and student “to comprehend their society’s professed ideas: freedom, equality, regard for the individual” (p. 290). Fundamental to the democratic credo, practice that is democratic focuses on distinguishing and dignifying the democratic way of life, ingrain leadership and learning experience with “conceptions of what *ought to be*” (p. 290), premised on the norms of democracy, norms defined, as Dewey (1916a) argued, by the people of democracy. In this sense, democratic practice, as Dewey (1916a) noted, takes “part in correcting unfair privilege and unfair deprivation” rather than “perpetuate them” (pp. 119–120).

Individuals engaged in democratic practice understand that, “since democracy stands in principle for free interchange, for social continuity,” social practice “must develop a theory of knowledge which sees in knowledge the method by which one experience is made available in giving direction and meaning to another. . . . [E]quivalent is the connection of the acquisition of knowledge in schools [or leadership preparation programs] with activities . . . carried on in a medium of associated life” (Dewey, 1916a, pp. 344–345). Important also is the understanding that democratic practice represents a moral and ethical practice rather than merely instrumental. Democratic practices connect to broader projects designed to further cultural, economic, and political democracy; to create a new symmetry and expand the “individual and social dimensions of citizenship rights” (Hall & Held, 1990, p.179).

Democratic Culture

A democratic culture embodies democracy in its philosophy and in its practice. It is therefore an idea that is considered a way of life by people in a culture—a way of associated living as Dewey (1916a) explained: “Democracy is more than a form of government; it is primarily a mode of associated living, a conjoint communicated experience” (p. 87). Culture that is democratic also signifies the particular ways in which a social group lives out and makes sense of its circumstances and conditions of life. In the leadership-preparation program, just as in the public school classroom, a democratic culture is contextualized through cultural diversity, and its members seek out insights and alternatives from myriad groups and their experiences in history. For an education leader in the school, just for the teacher in a classroom, democratic culture begins with the recognition that diversity can only be embraced when there is a center to which all feel a positive sense of attachment. This center, an authentic sense of community, cannot be imposed, but rather is negotiated by all students and educator(s) in a participative and discursive fashion. This center is shared by members of a democratic classroom culture and practiced in their social interactions as they engage in collective decision making on issues that affect and interest them. Dewey (1916a) explains the importance of culture that is democratic when he states that “it is the capacity for constantly expanding the range and accuracy of one’s perception of meaning” (p. 123) in relation to the perceptions of others; the inclusive nature of different perceptions is a hallmark of democracy.

Another aspect of democratic culture in the leadership-preparation program and school classroom is intimately connected with the question of how *social relations are structured* within class, gender, and age formations that produce forms of oppression and dependency. A democratic culture works to illuminate and interrogate asymmetrical power relations, facilitating students’ development of a critical awareness of these power relations while working to mediate how power is used to place individuals in social positions and shape identities. A democratic culture is viewed as a *field of struggle* in which the particular forms of knowledge and experience are central areas of conflict (Giroux & McLaren, 1986), and wherein, importantly, the democratic philosophy and practices of the culture recognize the endemic nature of such conflict, and work to provide strategies to position students so as not to disadvantage or devalue any individual or group.

IMPLICATIONS OF A DEMOCRATIC IMPERATIVE

Leadership education, as an agency of democratic educational systems, necessarily serves a role of social responsibility to the imperatives of a critical, active democracy. That is, lead-

ership-education programs as public spaces in which democratic pedagogy is enacted are responsible for linking learning and social transformation, providing conditions for students to learn the dispositions and capacities necessary to become democratic citizens. As Giroux (2003) argued, “in this sense [leadership] becomes performative and highlights considerations of power, politics and ethics fundamental to any form of teacher-student interaction” (p. 11). This means rethinking leadership education as a form of socially engaged responsibility and “proposes that [leadership] education is a form of political intervention in the world and is capable of creating opportunities for social transformation” (p. 11).

As leadership educators, before we are able to examine the implications of a democratic imperative for leadership education, we must be able to envision our work in relation to the transformative agency of education in forming a democratic society. We must also acknowledge the social realities of our work as situated within a political agenda, an agenda upon which we have little influence. This political agenda has served to narrow or strip away altogether many of the structures that would nurture the means to implement a democratic imperative. It is in acknowledging the present reality of democratic constraint achieved through political oppression served by agendas that seek to de-democratize education that the author of this paper explores the implications of a democratic imperative for faculty of leadership preparation and envisions the ideals and practices necessary to prepare educational leaders to serve as transformative social agents.

In working to foster a democratic imperative, leadership educators must attend to issues commonly associated with social progressivism, if we are to facilitate and sustain those educational ideals held in common by community members. Whether working within university-based or alternative preparation programs, we must creatively attend to fostering social agency through the types and nature of the learning experiences our candidates experience in preparing to become education leaders. As transformative cultural agents, we must broaden the scope of activity within our reach to address public issues that influence student learning and serve to diminish the realization of the democratic ideals established through public democratic dialogue. Leaving the narrow agenda of defending our academic interests and disciplines, leader educators must become actively involved in confronting those civil issues that impact access to educational equity and opportunity. We must take a stance against social practices and structural elements that diminish the right of every teacher and student to develop to his/her fullest potential.

CONCLUSIONS

Dewey (1916a) argued that a free, open, critical dialogue among the greatest diversity of groups or points of view possible, in a context of shared commitments that promote the capacity for such dialogue, provides conditions for the possibility of warranted knowledge and participatory democratic life. Such dialogues and forms of association presuppose “a large number of values in common, [so] all the members of the group must have an equable opportunity to receive and to take from others. There must be a large variety of shared undertakings and experiences” (Dewey, 1916a, p. 84).

In Dewey’s 1927 essay, *“The Public and Its Problems,”* perhaps the most salient statement is: the “prime condition of a democratically organized public is a kind of knowledge and insight which does not yet exist” (p.166). Learning to lead democratically requires an understanding that democratic knowledge, inquiry, practice, and culture are a necessary grounding of learning to lead democratically. Equally important, these four elements are essential in any productive construal of the notion of leading for democracy. Democratic experiences in learn-

ing are a constant symbol of the possibilities for a democratic way of life. Democratic experiences guided by democratic knowledge, inquiry, practice, and culture give form to democratic possibilities through students of leadership struggling, along side leadership educators, with the conventions of an organized society. Leadership preparation designed around democratic principles that warranted knowledge and actualized democratic life, with curricula based in projects that integrate subject matter while addressing genuine problems, could achieve such conditions necessary to creating and sustaining a democratic society.

Democratic possibilities exist in the experiences we as educators can make possible, the imaginative moments through which we can enable our students to move beyond the realities of a world as it is experienced in the present. To follow Dewey's (1916a) philosophy as set forth in *Democracy and Education*, in its inception, development, and fulfillment, a democratic way of education leadership preparation starts with learning experiences that are democratic in nature. By extension, leadership practice concerned with democratic possibilities starts with learning to lead that is democratic, evolves with an absorbed engagement with the world, and reaches realization in transformative moments that define society as democratic.

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Evaluating Principal Preparation Candidate Competence Using Medical School Methodology

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INTRODUCTION

This article provides information regarding a collaborative effort among two university divisions who were able to form a partnership to address a problem in the preparation of school leaders. The Department of Educational Leadership and the Clinical Skills Assessment and Education Department within the Division of Health Sciences at East Carolina University combined their authentic assessment methodologies to enrich the experience of principal-preparation candidates. The manner in which this partnership was formed, the process that was developed, the outcomes that were obtained, and the implications for other preparation programs follow.

THE PROBLEM

School administrator preparation programs are being criticized for failing to provide learning opportunities in authentic school settings. National accrediting standards such as those established by the Education Leadership Constituents Council (ELCC) and the National Council for the Accreditation of Teacher Education (NCATE) require internships or field experiences. They also recognize the value of authentic performance assessments in extending the time students spend learning in authentic settings (ELCC, 1995). The NCATE Guidelines address “an internship component” and “evidence of knowledge learned and applied.” The ELCC folio review process requires six to eight assessments be presented to document that programs are preparing candidates to be effective school leaders.

States and other licensing bodies have also turned to a performance oriented assessment of knowledge and skills. Many states require licensure applicants to obtain a state established passing score on the School Leaders Licensure Assessment (SLLA). The SLLA is designed to assess a candidate’s ability to apply the Interstate School Leaders Licensure Consortium (ISLLC) Standards. It measures that ability by asking candidates to respond to situations principals encounter in actual school settings.

Some studies have shown little correlation between the performance of candidates in preparation programs and their on-the-job performance (Bauck, 1987). Some critics have suggested criteria for judging preparation programs be tied directly to the effectiveness of the schools their candidates lead (Haller, Brent, & McNamara, 1997). Candidate performance in

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the classroom is generally tied to performance on examinations, projects, and research papers. Candidates who perform well on these kinds of assessments are not always the ones who do best on the job. Assessments tied more closely with the authentic school settings, issues, and challenges have the potential to produce outcomes that are more closely related to the actual performance candidates will exhibit on the job.

Preparation programs face the problem of how to change from their current assessment methodology to a more authentic assessment methodology. This paper will address one way in which that transition has been made.

AUTHENTIC ASSESSMENT

Assessment center methodology is grounded in a set of essential skills, authentic situations, and the analysis of skill based on data and observation. Assessment center methodology has been used in a variety of settings including the military, business, law enforcement and education. The origin of the assessment center concept has been traced to Sir Frances Galton who used assessment-type methodology in the late 19th century (Williamson & Schaalman, 1980). More recent assessment-center applications can be traced to the 1930s. Modern assessment center methodology was developed at Harvard University by Murray and in Germany by Simoneit. The British War Office Selection Board adopted Simoneit's methods to select army officers. With its entry into World War II, the United States government used assessment center methodology when the Office of Strategic Services (OSS) used theories from the Harvard studies and the assessment experiences of the Germans and the British to create an assessment center. In the 1950s, the business community discovered assessment methodology and began to use assessments. One of the most documented uses of assessment-center methodology was the 30-year study of management conducted at American Telephone and Telegraph (AT&T). Dr. Douglas Bray used assessment centers to track the development of AT&T managers (Sirotnik & Durden, 1998). Currently, assessment centers are being conducted by industries around the world for the selection and development of managers and executives.

The National Association of Secondary School Principals (NASSP), with the assistance of the American Psychological Association, developed an assessment center for the selection of school leaders in 1975. The NASSP assessment center has become the most well known assessment system for school administrators (Sirotnik & Durden, 1998).

During the 1980s and 1990s the NASSP worked with four universities through the Danforth Foundation to integrate candidate leadership skill assessment into their programs. Because of difficulties created by material costs and the need for additional labor, these efforts were short lived. Although the labor intensive nature and expense of using assessment-center methodology in the higher education setting is well documented (Hoyle, English, & Steffy, 1998), the benefits of providing assessment feedback to students about to enter an internship and the increasing calls for linking preparation with job-like experiences fueled continuing efforts to find reasonable ways to use assessment-center methodology. Faculty members at several universities have, therefore, continued to search for ways in which assessment data can be provided to students, can be used to respond to accreditation expectations, and can provide data to document student proficiency.

In 1998, the East Carolina University (ECU) Department of Educational Leadership (LEED) engaged in discussions with NASSP regarding the use of one of its assessment programs and entered into an agreement to redesign NASSP's Developmental Assessment Center (DAC) as a self-assessment program for use in preparation programs. DAC was

selected for the project because it is an assessment process whose sole focus is development and because the skills assessed relate well to the skills needed to accomplish the performances in the ISLLC Standards successfully.

Following several years of successful implementation and adaptation, faculty decided to completely revise the process and design new assessment activities that mirrored the situations and events candidates would experience as building-level principals in the ECU service area. That effort was successful and has been implemented for all principal preparation candidates for the past three years. The new activities included a leaderless group, an in-basket, and a communication situation that were unique to eastern North Carolina.

Once the new procedure was established, candidates had opportunities to demonstrate their skill in a small-group setting and in responding to written documents. However, no opportunities existed to demonstrate their skill in a one-on-one setting. This void was a concern for program faculty members because principals often engage in one-on-one meetings during a typical work day. Adding a role player simulation to the assessment center process was an option, but would require development of an activity, role player training, and additional resources. At this point faculty became aware of the clinical practice examination procedure through the dissertation of a doctoral student and discussions began with the clinical practice faculty regarding a possible partnership.

CLINICAL PRACTICE EXAMINATION

Standardized patients used in medical education, evaluation, and research were first introduced as a methodology by Howard Barrows (Barrows & Abrahamson, 1964; Stillman, Sabars, & Redford, 1976). Standardized patients portray patients reflecting actual patient encounters in scenarios developed to provide consistent and realistic simulations of specific medical problems and communication challenges to meet specific goals and objectives (Barrows, 1987). Standardized patients provide opportunities for learners to practice their communication and physical examination skills in a safe and controlled environment without possibility of harm to patients or threat to medical students. This method is reliable and valid as a method for evaluation (Fraser, McKinley, & Mulholland, 1994; Sharp, Pearce, Konen, & Knudson, 1996).

Standardized patients are used to assess medical students and other health professionals in several formats. The Objective Structured Clinical Examination (OSCE) is generally an assessment of techniques of a specific physical examination such as fundoscopic or neurological, for example. The term is sometimes used interchangeably with a Clinical Practice Examination (CPX) although the CPX is a set of patient encounters used to assess in a structured and standardized setting clinical skills such as history taking, physical exam, and communication skills. The use of a structured, summative assessment of clinical skills is used extensively and increasingly since the late 1970s (Harden & Gleeson, 1979; Klass, 1994; Langsley, 1991; Stillman & Swanson, 1987; Vu & Barrows, 1994). Since 2004, the United States Medical Licensure Examination has added a Clinical Performance Examination component (Step 2 CS) to the licensure examination for medical students. Thus, all physicians in the United States, both US-trained and foreign medical graduates, must pass a clinical skills examination to be licensed to practice medicine.

The CPX encounter is based on authenticity. Communication skills are learned in the context of face-to-face patient interactions. CPX participants experience evaluation through direct observation as all CPX encounters are videotaped and through feedback that is

standardized across learners and tested for reliability. Learners progress through levels of difficulty by developing scenarios matched to curriculum goals and objectives (Silverman, Kurtz, & Draper, 1997).

Standardized Patients and Clinical Practice Examinations have been used at ECU since 1981. Initially, the methodology was used for teaching in small groups for the Department of Family Medicine in the ECU School of Medicine (SOM). In the 1990s the SOM collaborated with the North Carolina Medical Schools Consortium on a grant from the Macy Foundation to study the feasibility of a state-wide standardized clinical practice assessment. Also in the 1990s, the National Board of Medical Examiners (NBME) began researching the use of standardized patients as a component of the medical licensure examination. The ECU School of Medicine served as a research site for the NBME and several faculty of the Office of Clinical Skills Assessment and Education (OCSAE) served on committees for the development of the USMLE.

Since the early 2000s ECU expanded application of standardized patient methodology throughout all four years of medical school, Graduate Medical Education, the School of Nursing, the Physician's Assistant Program, the Departments of Occupational Therapy, Recreation and Leisure Studies, Rehabilitation Services, Marriage and Family Therapy Program, as well as the School of Social Work. In the last fiscal year, the OCSAE provided over 7,000 standardized patient encounters to over 400 learners.

The value of a clinical practice exam as an assessment tool is enormous. The CPX provides an opportunity for all learners to experience standardized encounters replicated over multiple iterations with consistency and accuracy. Learners see how their performance compares to others who encounter the same case as well as see how an alternative approach produces different results (Silverman et al., 1997).

DEVELOPMENT OF THE PRINCIPAL LEADERSHIP EXAMINATION (PLE)

In early 2007, a group of College of Education faculty members approached faculty of the OCSAE with the idea of developing a clinical practice examination. This examination became the Principal Leadership Examination (PLE). The first activity undertaken by the combined faculty member team was to identify a variety of communication skills for Principals and Assistant Principals in public schools in North Carolina based on objectives in a Principal fellowship course. Based on this list of communication items (see Appendix), the team then designed three relevant encounters representing common scenarios encountered by Principals and Assistant Principals (see Table 1). Three was a trial number of cases used to assess the feasibility and authenticity of this type of assessment for principal candidates. College of Education faculty members on the team volunteered to participate in a pilot of the PLE. This would allow the team to test the authenticity of the scenarios, the utility of the checklist as well as the realism and reliability of the standardized patient, or as they were called "standardized education personnel". To conduct the PLE, the College of Education provided participants, the OCSAE offered pro bono the use of facilities, staff, and standardized patients to pilot this innovative use of standardized patients in principal education and assessment. The facility, equipped with 18 examination rooms included cameras and video-taping capabilities traditionally resembles a typical doctor's office with examination beds, wall-mounted equipment, sinks, and rolling stools. For the PLE, rooms were converted to look like an office by simply masking the examination table and wall-mounted medical equipment, adding a table to resemble a desk, and scattering office accouterments (e.g., lamp, telephone) throughout the space. The actual PLE was composed of

two activities, the assessment using standardized school personnel and the feedback session. The PLE assessment was conducted using acceptable practice examination protocols; all encounters were videotaped. PLE members had 20 minutes to interact with the standardized school personnel and complete documentation of the encounter. They then had 5 minutes to score the communication checklist. The communication checklist was also completed by the standardized education personnel immediately after each encounter and by an external reviewer the following day. Participant ratings for each checklist item were determined by comparing the checklists ratings of the standardized education personnel, the participant self assessment, and the external reviewer.

After the assessment, PLE participants attended a half-day formative feedback session. During the feedback session, participants received an itemized report of checklist items observed and not observed as defined by the standardized education personnel, the participant's self report, and the external reviewer as well as a report of each participant's areas of strengths and weaknesses based on the checklist categories. Each participant also selected one videotaped encounter for the class to view. The selected encounter could be one that the participant perceived that they utilized their leadership skills to produce a positive outcome or an encounter they perceived they did not utilize such leadership skills to produce a positive outcome; in either situation the participant received feedback on the taped encounter. The facilitator encouraged the PLE participant to choose a variety of cases so that everyone could observe a sample of each scenario. Tapes were viewed and each participant self-evaluated his/her strengths, followed by feedback from colleagues and faculty. Based on the written and viewed material, participants identified areas for improvement. Based on pilot results, modifications were made on the PLE. The PLE underwent a second pilot with 11 candidates using the same protocols as described above.

Table 1. Description of Scenarios in Principal Leadership Experience.

Station No.	Topic	Description	Communication Challenge
1	Teaching the teacher	Veteran teacher needs to improve student EOG scores	Knowledge & skills assessment Teaching the teacher
2	Interview	PTO president interviews	Articulation of Goals and Objectives, Collaboration, Philosophy
3	Parental dispute	Teacher is called in after parent phone call complaint	Fact finding, problem-solving, follow-up

INITIAL IMPRESSIONS OF BOTH PILOT GROUPS

Following the assessment, the principal preparation candidates were surveyed to determine their perception of the value of participating in the PLE. The participating students indicated they felt the PLE was a valuable addition to the data they had obtained through the Master of School Administration (MSA) Assessment program. They valued the feedback from the two individuals who rated their performance and saw value in being able to view their performance on videotape and discuss it with colleagues during the feedback session. Several students felt the ability to view the videotape with others was superior to viewing and scripting the tape of their leaderless group behavior in the MSA Assessment program alone. Students thought that one-on-one interactions was another needed addition to the activities in

which they had participated during the MSA Assessment. The students' reaction to the PLE was very positive.

The MSA faculty members have begun their review of PLE assessment activities. The initial response from the individuals who participated in the pilot has been very positive. Faculty members are aware of the void that currently exists in the MSA Assessment program and have supported the partnership that resulted in this pilot effort. The OCSAE are encouraged that the "Standardized Patient" (SP) methodology can successfully be applied to other fields beyond clinical education and assessment. Collaboration between multiple departments enhances the opportunity to pool resources of faculty, staff, facilities, and infrastructure to reduce overall cost for the College of Education. The OCSAE can benefit from such a collaboration by increasing productivity, broadening the scope of the standardized patient program, and leveraging performance based assessment facilities.

Some questions must be answered as we move forward with this partnership:

1. How will the new activities be integrated into the current assessment program?
2. What additional cost will result from adding the new modules?
3. How can the current schedule of activities be modified to accommodate the new activities?
4. How can the PLE data be entered into the MSA final report?
5. What kind of partnership must exist between the LEED Department and Clinical Skills Assessment to ensure the continuity of the activities?
6. How will LEED and Clinical Skills Assessment share resources and resolve issues/problems?
7. Who will be responsible for the coordination of the overall program and how will program improvement be achieved?

DISCUSSION

The expectation currently placed on preparation programs to produce graduates who can effectively lead schools has never been greater. Those expectations will likely increase in the future. It is, therefore, no longer acceptable to produce graduates who can pass a test, give a report, or present a paper on how to be an effective leader. Programs must collect and use data that accurately demonstrate what their students can do.

This paper has presented information on a pilot study that combined two authentic assessment methodologies currently used in medical schools and principal preparation programs. The pilot attempted to combine the two approaches. Preliminary results suggest the addition of PLE type activities to activities currently used in the principal preparation program can improve the overall quality of the outcome for students and programs. In addition, it appears departments of educational leadership and offices of clinical skills assessment and education can work cooperatively to achieve mutually beneficial results.

This partnership also has the potential to provide opportunities beyond preparation. The professional development of current administrators is an area of potential application of the assessment tools developed for students. This kind of assessment would give participants specific, behaviorally supported evidence of current behavior and provide motivation for improvement. Data produced through assessments would be a valuable resource for research into effective preparation practice, effective leadership behavior, and many other topics currently in the literature.

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APPENDIX**SAMPLE PRINCIPAL LEADERSHIP EXPERIENCE
CHECKLIST QUESTIONS**

Employee # _____ Core Leadership Competencies Observer # _____

The Principal...**Educational Leadership****I. Setting Instructional Direction**Comments:

Done	Not Done	N/A
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1.1 Articulates a vision related to teaching and learning1.2 Articulates high performance expectations for self**II. Teamwork**2.1 Supports the ideas of team member(s)2.4 Discusses plan for follow-up**III. Empowerment**3.2 Encourages employee to participate in meeting3.4 Elicits self-feedback from employee regarding performance3.5 Identifies employee goals and objectives**IV. Personal Style**4.1 Maintains appropriate eye contact4.2 Elicits perceptions, feelings, or concerns of others4.3 Voices disagreement without creating conflict

4.9 _____

4.9a _____

4.9b _____

V. Feedback5.1 Gives positive feedback5.4 Feedback focuses on behavior, not the person5.5 Offers Suggestions for Improvement**VI. Knowledge Of Content**6.5 Describes to the employee new ways to handle a situation6.6 Clearly identifies inappropriate behaviors

TEACHING AND ASSESSING DISPOSITIONS IN PRINCIPAL PREPARATION PROGRAMS: AN EXPLORATORY STUDY

Ronald A. Lindahl

The primary mission of principal preparation programs is to help students acquire the specific set of knowledge, skills, and dispositions that professional administrative organizations, e.g., National Policy Board for Educational Administration (2002, 2007) and the Interstate School Leaders Licensure Consortium (ISLLC) (Council of Chief State School Officers, 1996, 2008) and university accreditation agencies, e.g., National Council for the Accreditation of Teacher Education (NCATE) (2002, 2007) have deemed as being the minimum set necessary for success as a school leader. Although much attention has been given to the required knowledge and skills, little research on how programs deal with dispositions is extant in the professional knowledge base. Therefore, this study was designed to investigate how principal preparation programs teach, assess, and make decisions based on these dispositions.

METHODOLOGY

The researcher contacted faculty in principal preparation programs at over 100 institutions across the nation. Of those contacted, 35 respondents, representing 33 programs, agreed to be interviewed and provided information regarding when they most typically would be in their office. The researcher recognizes that those who agreed to participate may hold different perspectives about the role of dispositions in principal preparation programs than those who opted not to participate. That is a limitation of this study. Each telephone interview lasted between 30 and 45 minutes. Based on the responses of these 35 participants, the researcher became reasonably confident that he had reached a point of data saturation (Creswell, 1998, pp. 56-57), so no additional respondents were sought.

BACKGROUND TO THE STUDY

In 1996, ISLLC, a program of the Council of Chief State School Officers (CCSSO) promulgated six *Standards for School Leaders*. The six ISLLC standards were very specific in identifying 43 individual, but often interrelated, dispositions that school leaders should consistently demonstrate. In 2002, the Educational Leaders Constituent Council (ELCC) published its *Standards for Advanced Programs in Principal for Principals, Superintendents, Curriculum Directors, and Supervisors* (National Policy Board for Educational Administration, 2002). Of the seven standards, one pertains to internships within preparation programs and the other six refer to the knowledge, skills, and dispositions their graduates should demonstrate. These six standards were closely based on the ISLLC standards. A major impetus for this research study was that the ISLLC and ELCC standards were about to be revised. Subsequently, the new ISLLC standards were approved by the National Policy

Board for Educational Administration on December 12, 2007 (CCSSO, 2008). One main feature of the updated standards is that the language is “performance-based” (Sanders & Kerney, 2007, p. 7). Although the specific delineation of dispositions has been deleted in the 2008 standards, there is clear evidence that the dispositions underlying the 1996 standards remain an implicit conceptual foundation.

WHAT ARE DISPOSITIONS?

There are many definitions of the term *disposition*, ranging from the generic dictionary versions to ones specifically targeted to the dispositions to be assessed in educators; for purposes of this article, the latter are more specific and therefore more relevant. Baksh (2004) traced the assessment of dispositions back to Plato’s *Republic* and Aristotle’s *Categories* and *Rhetoric*. Beginning in 1959, under the leadership of Combs (see Combs, Blume, Newman, & Wass, 1974), considerable work was done in the area of teachers’ perceptual orientations; this work was the forerunner, and virtual equivalent, of what later became known as *dispositions* (Wasicsko, 2002). The first major appearance of the term *dispositions* in education came in 1992, when the Council of Chief State School Officers (CCSSO) published the first draft of the Interstate New Teacher Assessment and Support Consortium’s (INTASC) *Ten Core Principles*, which called for the assessment of new or prospective teachers’ knowledge, *dispositions*, and performances (INTASC, 1992). More recently, NCATE’s 2002 definition of *dispositions*, from the glossary of *Professional Standards for the Accreditation of Schools, Colleges, and Departments of Education* was:

Dispositions. The values, commitments, and professional ethics that influence behaviors toward students, families, colleagues, and communities and affect student learning, motivation, and development as well as the educator’s own professional growth. Dispositions are guided by beliefs and attitudes related to values such as caring, fairness, honesty, responsibility, and social justice. For example, they might include a belief that all students can learn, a vision of high and challenging standards, or a commitment to a safe and supportive learning environment. (NCATE, 2002, p. 53)

However, the most recent standards adopted by NCATE (May 11, 2007) listed the definition of professional dispositions as: “To be developed” (p. 45).

WHY HAVE STANDARDS BEEN STIPULATED IN SOME OF THE EDUCATIONAL LEADERSHIP STANDARDS?

In his defense of the ISLLC standards, ten years after their release, Murphy (2003) discussed the criticism that has arisen concerning including non-research-based dispositions with the standards (English, 2001; Hess, 2003). He cited such foundational works on educational administration as those of Culbertson (1963) and Foster (1984), which recognized that educational leadership is “fundamentally a moral activity” (p. 33) and cited the reviews of Beck and Murphy (1997) as concluding that the “fight to create a scientifically anchored value-free profession had brought forth an ethically truncated if not morally bankrupt profession” (p. 33). This concern, he stated, led ISLLC to acknowledge the importance of non-empirical materials [the *dispositions*] and to use this material to anchor and provide a

values foundation for the standards (p. 25). Although this values foundation continues to exist in the 2008 ISLLC standards, it is now implicit rather than explicit, with all references to dispositions deleted.

INTERPRETATION OF THE INTERVIEW RESPONSES

The responses of the participants fell into three primary themes: the importance of dispositions in their principal preparation programs, the teaching of dispositions in those programs, and the assessment of their students' dispositions, including the use of those assessments for decision making. The richness of their responses lies in the variations that were evidenced within each theme. Because of the page limitations of this *Yearbook*, responses are summarized rather than presented in the rich text format usually associated with the reporting of qualitative research findings.

THE IMPORTANCE OF DISPOSITIONS IN PRINCIPAL PREPARATION PROGRAMS

Almost all of the respondents indicated that they considered dispositions to be a key element of principal preparation, in general, and of the specific program in which they served. However, as these respondents all volunteered to participate in the interviews, they may have had a positive bias toward dispositions and therefore may not be representative of the larger population of faculty in principal preparation programs. Most of the respondents indicated that many of their colleagues did not give as much emphasis to dispositions as they did.

In almost all cases, the respondents referred specifically to the dispositions identified in the ISLLC standards and indicated strong familiarity with those dispositions. Most explained that each course syllabus linked the content and performance expectations of the course with specific dispositions (as well as with knowledge and skills). However, the ISLLC standards were not the only ones cited by respondents; in fact, one respondent referred to the ISLLC standards as "minimums, not maximums." She then reported that her program is built on the ISLLC standards, the 21 characteristics of effective leaders identified by Mid-continent Research for Education and Learning (McREL), the Critical Success Factors identified by the Southern Regional Education Board (SREB), state administrator standards, and the state's code of ethics for school administrators. One respondent, from a religiously-affiliated university that prepares both public and private school administrators, explained that in addition to the ISLLC standards, his program's curriculum is based on the dispositions inherent in Greenleaf's (1977) *servant leadership* model, as well as on Biblical dispositions. Another respondent cited the work of Combs (e.g., Combs, 1988; Combs, Blume, Newman, & Wass, 1974; Combs, Miser, & Whitaker, 1999) as the dispositional foundation of his program, in conjunction with the ISLLC standards. The respondent cited four primary dispositions as essential to the principal preparation program: *A positive self-image*, based on the individual's ability to identify with diverse groups of people and diverse points of view (good assessment skills and high emotional intelligence); *high positive expectations* for teachers and students; *a focus on the larger view*, on the human element, on learning, growth and development; and *a people focus*, recognizing that people learn through cognitive, emotional ways.

One respondent discussed ethics as a dispositional element at the heart of the preparation program. She recognized that ethics are difficult to define and may have some contextual or situational variations. However, her program's goal is to develop student dispositions in favor

of being: *inclusive, democratic, just, accessible to all, equitable, and valuing of diversity*. She also discussed doing what is right, including getting the right people.

Another respondent identified four key dispositions that she focused on heavily in the first and in the final courses of the leadership preparation program. These were: *the courage to care, compassionate justice, understanding of self, and only being human*. She clarified that *only being human* refers to a benign approach to recognizing that when people do something unexpected or possibly ill-conceived, they are merely exhibiting the natural frailties of our species.

Other respondents cited the ELCC standards or state standards for principal preparation programs that contained specific dispositions. Several respondents cited dispositions contained in their college or school's conceptual model, typically associated with the NCATE accreditation process. However, when all respondents discussed the specific dispositions in their state, college, or other models, there was considerable overlap and congruence with the dispositions identified in the ISLLC standards.

The amount of emphasis given to dispositions seemed to vary considerably across programs. One respondent from a large program stated that the curriculum was highly tied to the ISLLC standards. He also noted that dispositions were mentioned in the program's mission statement: "attitudes for helping to build effective learning communities within a culturally diverse society." However, he reflected that dispositions were not addressed in course syllabi, nor did they feature prominently in departmental discussions. Another respondent estimated that his program devoted approximately 10% of its time to the teaching and assessment of dispositions; this extent of coverage seemed to be close to a norm among the respondents. Yet another respondent asserted that dispositions carried equal weight (33%) to the skills and knowledge taught in his program. In some programs, however, dispositions are given a more central role. One respondent from a religiously-affiliated university estimated a relatively high percentage of time, owing to the institution's mission and vision being so heavily rooted in Biblical dispositions. One program, heavily guided by a nationally-recognized author, researcher, and scholar on dispositions in teacher education, offers a course on *Becoming a Transforming Leader*, which focuses on preparing students with the theoretical background and instrumentation to assess and self-assess dispositions. The course culminates with each student developing a dispositional growth plan. In addition, he estimated that between eight and ten other courses of the program also have strong emphases on helping the candidate be a "more effective person."

TEACHING DISPOSITIONS IN PRINCIPAL PREPARATION PROGRAMS

Almost all respondents indicated that they, personally, taught dispositions as part of the principal preparation courses. Most respondents informed that the most significant means of teaching dispositions is through modeling them consistently in all interactions with students. One clarified that he does so through his professional writing and teaching. He also noted that the field-based mentors of the program's extensive internship component are expected to model the ISLLC dispositions. Several others described the use of scenarios or case studies as a primary means of teaching dispositions. One respondent informed that rather than teaching the dispositions, per se, he designed activities "to bring the dispositions out of the students." To foster the disposition of collaboration, another respondent discussed her requirement of team projects in her leadership course. Another respondent noted that dispositions can be

taught, but only if the student has “a base willingness of spirit” to be open to new dispositions.

One respondent described a heavy focus on dispositions in her course, the entry course of the preparation program. She described using a wide variety of activities to create trust and build a sense of community among the students and with her. She used debate, consensus building, reflective writing and discussions, and the requirement of a single-page educational platform focused on the ISLLC standards as a means to promote student reflection on their own, unique sets of dispositions. As with the previously cited respondent, she clarified that she does not *teach* dispositions, but rather *educates* (pulls from) students about them.

Similarly, another respondent described her opening course in the preparation program as being heavily grounded in dispositions. She estimated that over the past eight years, 15% to 20% of the students in that course failed or were counseled out of continuing in the program, largely on the basis of dispositions.

The most frequently cited situation in which dispositions were addressed in the curriculum was in field-based internships. Most respondents indicated that the field-based mentors were expected to model the ISLLC dispositions and to inform the university supervisor if the intern’s actions during the internship violated these dispositions. Many respondents indicated that the assessment rubrics for their internships were based on the ELCC or ISLLC standards, including the dispositions. As one respondent noted, during the internships dispositions are modeled by the field-based mentors, rather than taught; however, this occurs only *if* the mentor is competent. One respondent discussed a situation in which five students were suspended from participating in the internship on the grounds of failure to demonstrate the expected dispositions. Eventually, all were reinstated, although one subsequently chose to leave the field of school administration.

One theme that emerged from many of the interviews was that there exists a murky confusion between professional dispositions, e.g., ISLLC or ELCC, and dispositional expectations faculty hold for students, e.g., punctuality, attendance, preparation for class, and academic honesty. Quite a few respondents reported on situations in which students were disciplined, counseled, or removed from the program for failure to demonstrate these student dispositions; very few indicated such actions based on the professional dispositions. Interestingly, one respondent stated: “if the student doesn’t exhibit professionalism and integrity in our program, how can we certify him to become a school administrator?”

As mentioned in the previous section, faculty at one university instituted a course almost specifically devoted to teaching dispositions. However, most of the other participants’ programs did not contain courses focused on dispositions. Generally, dispositions are integrated with the skills and knowledge base related to each course’s content focus. The general consensus was that if students entered the program with basic dispositions similar to those advocated in the ISLLC standards, or by the specific university, teaching dispositions in the program would help to make students better reflective practitioners concerning the dispositions. However, as one participant noted, “it is not likely that graduate students will extinguish previous dispositions and gain new ones.”

Several respondents discussed the situation that many of their graduates do not move into a school leadership position upon graduation from the preparation program. They noted that, all too often, these graduates exited the program with an appropriate set of dispositions, only to be re-socialized into the culture of their school and/or district. This culture often did not coincide with the dispositions taught in the principal preparation program.

ASSESSING DISPOSITIONS IN PRINCIPAL PREPARATION PROGRAMS

Many participants reported that they assess dispositions, either for program admission, as part of course requirements, for exiting the program, or for some combination of these. The screening of applicants to principal preparation programs based on dispositions varies greatly. One program gives such attention to dispositions that program admission requires letters of recommendation, a letter of intent, and interviews (based on questions aligned to the ISLLC standards, including dispositions). All three sources of data are screened to assess the applicant's dispositions; some applicants have been denied admission based on disposition-related issues. Two participants reported relying on *deferred admission* or *conditional admission* in those cases in which the applicant does not demonstrate that he or she clearly possesses the dispositions expected by the program. The student is admitted on probation; after 9 to 12 semester hours of coursework, a committee of program faculty convenes to decide on the student's admission to the program. One of these participants reported having screened students out of the program at the end of the probationary period. The other program had only recently instituted this policy and had not yet been confronted with the need to recommend against offering full admission. Yet another respondent stated that he had been sued by several students who had been denied admission; however, in all cases the judge ruled in favor of the institution on the grounds that the decision had been made by a group of faculty members who were appropriately trained in the assessment of dispositions and who were using a validated methodology.

In one program, an assessment center approach is used for admissions, conducted in conjunction with the many school districts it serves. Applicants respond to oral and written problem situations, in which dispositions figure heavily in the scoring rubric. Applicants have been denied admission to this program because of dispositional issues illuminated by this admission process.

On the other hand, relatively few programs screen applicants for dispositions, including even some programs that require interviews for admission. As one participant noted, "there is too much pressure for FTEs to screen out students." Others have dispositions as a criterion, but have not denied admission based on that criterion to date. Several programs have a mid-program review after a student completes 12 to 18 semester hours of coursework; however, although there are rubrics that include dispositions, no student has been removed to date from any of the reporting programs. In many programs, interviews are not conducted, although some rely on letters of recommendation to assess an applicant's dispositions. Many respondents indicated that they did not consider an applicant's dispositions in the admissions process because of fear of lawsuits from denied applicants. As one respondent noted, "Considering dispositions in the admissions process is a legal minefield. To reject an applicant would be saying that your program could not teach the desired dispositions to its students. You don't screen out applicants because they don't arrive in the program already having the knowledge and skills necessary to be a principal, do you?"

Several states are in the process of state-wide redesign of principal preparation programs. In all cases, a much greater involvement of the local education agencies in the admission and selection of students is required. Respondents from these states universally anticipated that this would lead to a greater emphasis on dispositions in the admissions process.

The most common form of assessment of dispositions in coursework was through candidates' portfolios, which were generally portrayed as capstone assessment requirements. One respondent described his program's assessment of the portfolio as being based on the

ELCC standards and reviewed by a committee comprised of three to four faculty members and one practicing administrator from the same grade level as the intern, i.e., elementary, middle, or high school. This committee also reviews the student's performance on the 58 "significant activities" designed by the program faculty to cover the full range of the ELCC standards. The student must present evidence of successful performance in at least 80% of these activities. However, although many other programs' portfolio processes are based on the ISLLC standards, most give no explicit instructions to include reflections on dispositions.

When asked what would happen in his program when a student did not display the desired dispositions, one respondent stated that the faculty would hold a student personnel session at a faculty meeting to discuss the problems noted. Then the student's professor or advisor would counsel and monitor the student; this might involve career counseling to discourage the student from pursuing a career in school administration.

In one program, preparation is offered for the *Praxis* exam, a certification requirement, as part of its curriculum. As the instructor for this preparation views many of the *Praxis* scenarios as disposition-oriented, the preparation activities help students to perceive their dispositions and to align them with the ISLLC standards. In some cases, students were required to reflect upon the ISLLC standards (including dispositions) and base their portfolio on them. Dispositions are also assessed as part of exit requirements. For example, one program requires its students to develop a personal code of ethics in the opening, required course; halfway through the program, the student supplements this with a personal philosophy of administration; the capstone requirement is the development of a personal platform of deep-seated beliefs. All three are dispositional in nature. In another program, a mandated exit question posed to students requires them to reflect upon "one dispositional theme that every student in our program leaves with." One participant reported that a follow-up survey of employers provided the program with assessment information on the dispositions exhibited by alumni following program completion. Finally, another participant reported looking at the success of its graduates in administrative roles to determine the extent to which they have the needed dispositions.

SUMMARY

Perhaps the best summary of the findings of this study can be found in the words of one participant: "We don't deal with them [dispositions] nearly as well as we should." Most, if not all, participants concurred that their programs have identified key dispositions related to school leadership and make at least some attempt to teach and evaluate student acquisition of these dispositions. However, one participant's comment seems to reflect well the inconsistencies reported across participants' institutions: "In some classes, dispositions are taught better than others." Internships were generally viewed as the primary place that dispositions are taught (primarily through mentoring by the supervising principal) and assessed. Few programs used dispositions as criteria for admission decisions and little direct assessment of dispositions occurred until the internship or capstone portfolio. Very, very rarely did the absence of the desired dispositions result in students failing to graduate or to be certified. Programs would benefit greatly from a better understanding of the legal issues surrounding the use of dispositions as criteria for admission or dismissal from the program. With the removal of dispositions as an explicit element of the 2008 ISLLC standards, continued research is warranted to examine if and how dispositions will be addressed in principal preparation programs.

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The Process of ISLLC/ELCC Standards Implementation in School Leadership Preparation Programs

Crystal Machado and Daniel H. Cline

RATIONALE FOR THE STUDY

To remain viable, organizations need to align themselves to their changing environment (Weber, 1999). Theoretical endeavors to study the complexities of change have spanned generations. Over the last two decades studies have analyzed the change process itself (Foulkes, 2003; Fullan, 2000; Hart & Fletcher, 1999; McNaught, 2003), its principles (Hall & Hord, 2006), stages and characteristics (Akmal & Miller, 2003; Hagerott, 2004; Twadell, 2003) and the factors that affect change (Berg, Csikszentmihalyi & Nakamura, 2003; Hearn, 1996; Martin, 2000). There is wide agreement in the literature that effective change is characterized by good planning (Akmal & Miller, 2003; Hagerott, 2004; Kotter, 2000; Twadell, 2003); and assessment and adaptation to internal and external forces (McNaught, 2003; Rowley & Sherman, 2001).

A major challenge facing professors of education administration is the task of designing programs that bridge the gap between theory and practice (Grogan & Andrews, 2002) and prepare school leaders and policy makers who can respond to the ever changing needs of American society (Price, 2004). Significant reform initiatives of the last decade is development and implementation of the Interstate School Leadership Licensure Standards (ISLLC). Researchers and scholars have examined the perceived impact that this standards-based reform movement has had on the performance of school leaders in the field (Boeckmann, 1999; Coutts, 1997; Holman, 2005; Markley, 2004; Pope, 2004; Ray, 2004; Reeber, 2003; Sumpter, 2004; Thorns, 2002). However, there is a dearth of reported literature that describes and evaluates the use of standards as a basis for program improvement. Standards implementation is an ongoing process; a better understanding of the process, identification of the different action steps that were taken, and the perceived effectiveness of different strategies could add to our knowledge base and ensure that subsequent alignment efforts are conducted more efficiently (Machado, 2008).

Our study was guided by the following research questions:

1. What was the process by which school leadership preparation programs were aligned with the ISLLC and/or ELCC standards?
2. Which strategies were used to align programs with the standards? How did faculty rate the effectiveness of the identified strategies?
3. Did accreditation status, affiliation status or Carnegie classification status contribute to group differences in the strategies identified as most useful?

4. Which additional strategies did faculty identify, in retrospect, as ones that could have aided the alignment process?
5. To what extent were faculty satisfied with the process and outcomes of the alignment process? Did accreditation status, affiliation status, and Carnegie classification status have an impact on level of satisfaction?

Given that the subject matter under investigation was both new and underdeveloped, a mixed method approach was used for data collection. Qualitative data collected from eight faculty members during the preliminary phase of the study were used to develop the instrument that was administered to faculty nationwide during the secondary phase of data collection; this survey generated both qualitative and quantitative data.

Descriptive characteristic of the survey respondents presented in Table 1 show that the sample comprised of 222 faculty members is representative of the population in terms of both affiliation status and Carnegie classification status. However, in terms of accreditation status the sample includes a greater number of institutions with full NCATE accreditation status than the population; the proportion of programs with probationary/conditional NCATE accreditation for the sample is representative of the population, even though it is a little smaller.

Table 1. Descriptive Characteristics of Survey Respondents' Institutions.

Descriptive characteristics	Population		Sample	
	N	%	n	%
NCATE Accreditation Status ^a				
Full (A & I)	246	65	162	75.7
Probationary/conditional (P & C)	24	6.3	12	5.6
None	109	28.7	40	18.7
Total	379	100.0	214 ^b	100.0
Affiliation Status				
Public institutions	282	74.4	176	83.4
Private institutions	97	25.6	35	16.6
Total	379	100.0	211 ^b	100.0
Carnegie classification status				
Doctoral/research – extensive	108	28.5	57	26.8
Doctoral/research – intensive	66	17.4	53	24.9
Masters I	202	53.3	101	47.4
Masters II	3	.8	2	.9
Total	379	100.0	213 ^b	100.0

Note. ^a “A & I” programs have both undergraduate and graduate accreditation; “P & C” programs are currently on probation and/or have not met one or more of the NCATE standards and must do so within a two year period; and programs labeled as “None” have not sought NCATE accreditation. ^b The totals vary because of missing cases.

FINDINGS AND DISCUSSION

ISLLC/ELCC Standards Implementation--Stages of Program-Standards Alignment

Qualitative data indicated that standards implementation occurred gradually over a period of time and took anywhere between six months to several years. Quantitative data confirmed

this. As many as a fifth of the respondents reported that, to date, faculty had made between three to five attempts to align their programs with the standards. A little over one third of the respondents reported that review and program modification is now an ongoing process.

Content analysis of the eight narratives generated during the preliminary phase reveals that faculty employed a wide range of action steps to align their programs with the standards. These action steps were broadly categorized into three distinct phases: Information Seeking, Program Evaluation, and Program Modification Phase.

The literature suggests that evolutionary change is long-term and therefore less likely to be adopted by leaders and change agents; on the other hand, revolutionary changes have the potential to damage an organization (Kezar, 2001). Analysis of the action steps presented in Table 2 confirms that the standards-implementation process was neither evolutionary nor revolutionary; it was essentially a planned transitional change. Like most transitional changes the process of standards implementation was a controlled process, driven largely by clearly defined structures and timelines. The primary motivation was to 'fix' problems. The process was clearly project-oriented, focused on modifying existing programs (structure, design, content, delivery, assessment) and work practices.

The data suggest that the implementation process was highly participative and time consuming. The non-linear process called for generative change rather than adaptive change. This generative process, like the action research process, required more than a one time response to the external environment. Stakeholders were engaged in "learning by doing"—they identified problems with the existing program, planned a course of action to resolve the issues, evaluated the outcomes to see how successful their efforts were; when they were not satisfied they repeated the action cycle of reflection, planning and implementation.

Overall analysis of the response time suggests that on average faculty responded to the mandated programmatic changes in a reactive manner, at only a few departments faculty responded proactively, at these departments faculty had initiated major program modification prior to embracing the standards; the standards just added to their momentum.

Program-Standards Alignment Strategies

The mean scores and standard deviations presented in Table 3 show the degree to which survey respondents perceived that the strategies identified by interviewees during the preliminary phase of the study contributed to program-standards alignment.

More than 50% of faculty indicated that 9 of the 14 strategies listed contributed either moderately or substantially to the implementation process. However, Table 4 shows that on average, only three strategies were deemed highly effective. A series of one-way ANOVAS revealed group differences in the perceived effectiveness of strategies when compared across accreditation status and Carnegie classification status, but not affiliation status.

Group differences were observed in the degree to which 'program evaluation by faculty' was found to be effective when compared across Carnegie classification status [$F(2, 202) = 3.133, p = .002$]. The effect size, calculated using eta squared, was .87. Post-hoc comparisons using the Tukey HSD test revealed that faculty at masters level institutions ($M = 2.22$) perceived that this strategy was more effective than those at doctoral extensive institutions ($M = 1.73$).

Table 2. Phases of ISLLC/ELCC Standards Implementation: Action Steps.

Phase 1 Information Seeking Phase	Phase 2 Program Evaluation & Planning Phase	Phase 3 Program Modification Phase
<ul style="list-style-type: none"> - Attending meetings organized by the state department to obtain information about expectations and resources available; - Reviewing the literature and other print material; - Corresponding with resource agencies; - Studying model programs identified by professional organizations or prominent professionals in the field; - Visiting other schools on their own campus, or other school leadership preparation programs that were in the process of revising their programs. 	<p>Internal Evaluation, Planning and Review</p> <ul style="list-style-type: none"> - Outlining objectives and short – and/long-range steps ; - Organizing focus groups; - Structuring committees to address different areas; - Discussing possible alternatives, benefits and problems; - Review of existing courses independently or in focus groups; existing courses; - Developing a matrix to describe existing program and outcomes and how they relate to the standards and or NPBEA domains; - Identifying aspects of the existing program that can be retained and/or those that have to be dismantled or dropped; - Identifying areas that need to be created from scratch to meet the new requirements; - Redesigning benchmarks and translating them into learning goals and targets; - Determining how to assess students and give students and departments feedback; - Making a lists of assignments and expectations; - Determining how long the transition is likely to take; - Carrying out the actions and activities entailed in operationalizing the change; - Examining the outcomes of the changes made or some aspects of it. <p>External Input and Evaluation</p> <ul style="list-style-type: none"> - Attending professional meetings that gave orientation to the work that had to be accomplished; - Inviting principals and superintendents from in and around the state to participate in the evaluation of existing syllabi and the recommendation of content areas that need to be further developed; - Engaging focus groups in discussion; - Seeing feedback given by state reviewing teams and/or NCATE reviewing teams; - Hiring external consultants to provide additional information and facilitate the process; - Seeking feedback from employers program graduates; - Getting feedback from current graduate students and graduates of the program. 	<ul style="list-style-type: none"> - Working in committees to address different areas; - Ongoing communication between faculty to redefine objectives of the program; and individual courses and how they were aligned with ISLLC or ELCC standards; - Engaging adjunct faculty in collaborative activities and in the rewriting of sections in their area of expertise; - Modifying existing syllabi; ensuring connectivity between standards, targets and benchmarks; - Hiring new faculty members to teach new/ modified courses; - Eliminating excessive overlaps or breaks in the existing curricular delivery system and coursework; - Developing a consensus and moving the curriculum forward to full time faculty.

Table 3. Ranks, Means and Standard Deviations of Program-Standards Alignment Strategies.

Rank	Program-standards alignment strategies	<u>M</u> ^a	<u>SD</u>
1	Program evaluation by faculty	2.53	.713
2	Committees	2.24	.960
3	Program evaluation by graduates of the program	2.00	.900
4	District, principal and superintendent input	1.88	.910
5	Guidance from state certification/licensure	1.77	1.007
6	Graduate student employer's input	1.69	.926
7	Professional development provided by/for faculty	1.67	1.046
8	Graduate student input	1.64	.856
9	Guidance from NCATE ^b	1.61	1.045
10	Adjunct faculty input	1.56	1.010
11	Focus groups	1.21	1.095
12	Input from external consultants	1.15	1.079
13	Input from successfully aligned departments	.82	.790
14	Availability of additional resources	.80	.933

Note. ^a The following should be used to interpret the mean scores: 0 = Definitely not, 1 = Somewhat, 2 = Moderately, 3 = Substantially. ^b Some survey respondents (n = 38; 17%) worked at institutions not accredited by NCATE; these figures are subject to multiple interpretations and should be interpreted with caution.

Table 4. Alternative Program-Standards Alignment Strategies Identified by Survey Respondents.

Alternative program-standards alignment strategies identified by survey respondents	<u>n</u>
Collaboration/visits with programs that have successfully aligned their programs with the standards	10
More input from principals and superintendents	9
Current graduate student involvement in the program review/program modification	9
Clearer, more consistent information on expectations from NCATE/ELCC	6
Consider time spent as part of faculty work load/Provide faculty with release time	5
External consultants	5
More input from graduates of the program	5
Professional development workshops with faculty	4
Formal review of research literature on preparation program efficacy	4
Greater use of focus groups	4
Start process earlier/more time	4
Strengthen discussion with the field regarding success of students 2-3 years after program completion	3
Alignment among various groups ELCC/State to eliminate duplicity or overlap in standards-setting	3
Collaboration with colleagues in other Ed.D programs	3
Clearer, more consistent information on expectations from department of education at the state level	3
Monetary reward for faculty's involvement in such labor intensive work	3
Greater involvement of adjunct faculty, clinical faculty and T/P	3
Discussions at national conferences at UCEA, AERA and NCPEA	3

Group differences were observed in the degree to which 'committees' aided the process when compared across accreditation status [$F(2, 203) = 3.572, p = 0.021$]. The effect size, calculated using eta squared, was .80. Post-hoc comparisons using the Tukey HSD test revealed that faculty at fully accredited NCATE institutions ($M = 2.35$) rated the effectiveness

of this strategy significantly higher than did faculty at institutions not accredited by NCATE ($M = 1.95$).

Group differences were observed in the degree to which ‘program evaluation by graduates of the program’ was found to be beneficial to the process when compared across accreditation status [$F(2, 205) = 2.853, p = .028$] and Carnegie classification status [$F(2, 204) = 4.696, p = .003$]. The effect size, calculated using eta squared, was .78 and .86 respectively. Post-hoc comparisons using the Tukey HSD test revealed that faculty at fully accredited NCATE institutions ($M = 2.11$) rated the effectiveness of this strategy significantly higher than faculty at institutions not accredited by NCATE ($M = 1.72$). Similarly, faculty at Masters level institutions ($M = 2.22$) found it more beneficial than faculty at doctoral extensive institutions ($M = 1.73$).

Availability of resources, input from other departments who have successfully aligned their programs, input from external consultants and focus groups were identified by many respondents as strategies that had minimal influence on program-standards alignment. However, the alternative strategies identified by faculty, in retrospect, presented in Table 4 suggests collaboration with departments that have successfully aligned their programs with the standards, and greater involvement of superintendents, principals and current graduates students would have been beneficial.

The instrument was not sophisticated enough to ascertain if faculty were unwilling to collaborate with other institutions and agencies, or if their desire to do so was inhibited by the lack of funding. Either way, this appears to be an avenue with much potential which needs to be exploited in the future.

Level of Satisfaction with Implementation Process and Outcome

All eight interview participants reported a high level of satisfaction with the process and outcome of program-standards alignment. Of the 222 survey respondents, 19 (8.6%) did not report their level of satisfaction. Most of survey respondents ($n = 162$; 73%) reported that they were satisfied with the implementation process and outcomes. A small proportion of the sample reported indifference ($n = 33$; 14.9%) and an even smaller proportion ($n = 8$; 3.6%) expressed dissatisfaction. A three-way ANOVA revealed that accreditation status, affiliation status, and Carnegie classification status, in combination, did not influence faculty level of satisfaction.

EMBRACING THE CHALLENGES AND PROMISES

A close association between higher education and resistance to structural change has been observed by researchers over the years (Bess, 1988; Fullan, 2000); however, given the rigorous process that faculty engaged in it is evident that faculty are not obstructionists when involved in standards implementation. They worked in committees and drew on collective wisdom, critical thinking, and creative problem solving to address issues unique to their individual programs.

Based on study results, it would be safe to conclude that departments have begun to address the charges of too much theory and lack of integration of theory with practice (Grogan & Andrews, 2002; Price, 2004). The ongoing standards-implementation process is characterized

by: good planning, anticipation of real-world demands on school administrators and a fair amount of collaboration. Group differences in the degree to which some strategies aid the process were observed when compared across accreditation, affiliation, and Carnegie classification status. Faculty members should study these trends carefully. Departmental faculty members should draw on a wider range of strategies rather than relying on those that are conveniently available; they should collaborate with other departments who have successfully aligned their programs with the standards. Drawing on strategies that *worked* for departments with similar characteristics is recommended. Conversely, collaborating with departments that might be dissimilar, but that made other strategies *work* could also prove beneficial.

To sustain continual improvement, departmental faculty need to develop a mechanism for evaluating the standards-implementation process within their respective departments and the degree to which curricular changes are linked with K-12 student success. Program modification should be driven not just by feedback from professional development organizations and accrediting agencies, but by self-regulatory benchmarks identified by departmental faculty.

If systems-thinking is applied to standards implementation then working toward implementing collaboratively developed standards—in isolation—could lead to unintended and unfavorable outcomes. Faculty need to become effective system thinkers because their primary role will be to manage the systems for which they are accountable. The invisible walls that have been built around programs need to be removed. If we are to create a generation of high achievers, regardless of background there needs to be a movement from competitiveness to cooperation. “No program left behind” should be our new slogan.

Finally, professional organizations such as American Educational Research Association (AERA), University Council for Education Administration (UCEA) and National Council of Professors of Educational Administration (NCPEA) should stimulate dialogue about best practices in standards implementation and evaluation of outcomes. This could be accomplished by establishing think-tanks organized across institutional characteristics like affiliation status, accreditation status, and Carnegie classification status. Working within and across these groups will allow departments to move from competition to cooperation, from isolation to interdependence. The expense attached with traveling to a common venue can be eliminated altogether if professional organizations employ collaborative platforms that draw on the wide range of alternatives that new advances in technology provide.

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Team Testing for Individual Success and the Development of Interpersonal Skills Among Aspiring School Leaders

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INTRODUCTION

Those teaching in the field of education leadership constantly examine the necessary knowledge, skills, and dispositions of future leaders. Adapting course content and teaching practice in leadership preparation programs to address the needs of aspiring leaders who will soon be on the front lines is crucial. Assessment is a commonly overlooked element, as courses are developed and updated to meet the changing needs of our students often focusing on texts, teaching materials and modes of delivery.

Assessment in the education leadership classroom has the potential to serve as a learning tool that not only measures the knowledge of our students, but also develops the skills necessary for students' future roles. Team testing is proposed here as an effective form of assessment that transforms traditional written exams into dynamic knowledge- and skill-building activities for future leaders.

REVIEW OF THE LITERATURE

The literature on team testing at the university level is limited, with few studies conducted at the graduate level (Hancock, 2007). Of the studies gathered for this review, most reported on team testing in graduate-level business courses.

Team Testing

Team testing has been defined in the literature as an assessment technique in which students are paired for a written exam (Briggs & Harris, 1990; Hancock, 2007; Hurren, Rutledge & Burcham, 2006). Students work cooperatively in assigned or self-selected pairs and share a common grade for the exam.

Team testing has often been used when there is a desire for assessment to match teaching practice (Hurren et al., 2006). If in class work involved small group work, cooperative learning, and group projects, Hurren and colleagues argued that team testing was a more authentic assessment technique than individual testing. Another reason for the use of team testing was in response to student test anxiety (Briggs & Harris, 1990; Hancock, 2007; Hurren et al., 2006; Lockemy & Summers, 1993; Nowak, 1996; Zimbardo, Butler, & Wolfe, 2003). Hurren et al. (2006) noted that test anxiety impacted students at all academic levels. The authors noted that students in early elementary school and adult students in college each faced similar anxiety issues related to testing and perceived pressures. Researchers have shown that anxiety decreased with the use of teams.

Outcomes

The literature on team testing included several positive outcomes on student achievement and social skills. Briggs and Harris (1990) asserted that team testing was a learning tool. Other studies also supported this idea and noted that both motivation and learning were enhanced when team testing was used (Briggs & Harris, 1990; Hancock, 2007; Lockemy & Summers, 1994; Zimbardo et al., 2003). Team testing required higher order thinking and oral learning (Hurren et al., 2006). Cooperative work on a written exam required oral rehearsing of material and the explaining of material to others to arrive at solutions (Lou, Abrami, Spence, Poulson, Chambers & d'Apollonia, 1996). As Lou and colleagues noted, learning depended on giving explanations to help clarify one's own learning and on receiving explanations to help correct misconceptions.

Individual and group student achievement showed improvement with the use of teams (Nowak, 1996). Zimbardo et al. (2003) noted that team testing had a positive effect size of 0.8 on student scores. Briggs and Harris (1990) found that when business students paired for testing, scores improved by 20% to 22%. In addition to achievement, the retention of course content has also been shown to improve with team testing (Cortright, Collins, Rodenbaugh, & DiCarlo, 2003).

Several studies supported the idea that social and interpersonal skills were improved by the use of team testing (Hurren et al., 2006; Lou et al., 1996; Zimbardo et al., 2003). Specifically, communication skills were improved with the use of the technique (Hurren et al., 2006; Lou et al., 1996). Also worth noting is the improved self-concept students reported after taking part in team testing (Hurren et al., 2006; Lou et al., 1996; Nowak, 1996). In their meta-analysis, Lou et al. (1996) found that grouped students had a significantly higher general self-concept than did students who were not grouped.

Educational Leadership Constituent Consortium Standards

The Educational Leadership Constituent Consortium (ELCC) Standards are at the base of course content in the field of education leadership. Just as course content is tied to the six ELCC Standards, teaching and assessment methods in leadership courses should also support these standards. Standard 3 (National Policy Board for Education Administration [NPBEA], 2002) states the following:

Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by managing the organization, operations, and resources in a way that promotes a safe, efficient, and effective learning environment. (p. 7)

Substandard 3.2, Manage Operations, includes the following indicator (NPBEA, 2002):

Candidates demonstrate the ability to involve staff in conducting operations and setting priorities using appropriate and effective needs assessment, research-based data, and group process skills to build consensus, communicate, and resolve conflicts in order to align resources with the organizational vision. (p. 8)

While the content of most courses in Education Leadership programs is aligned to ELCC standards, attention is not often paid to how assessment methods relate to the standards. Team testing is a method that can be used to build the skills described in the third ELCC standard.

The literature supports the idea that the ability to involve staff, allocate resources, and set priorities can be developed using this assessment approach. Emerging leadership (Briggs & Harris, 1990), task allocation (Nowak, 1996), prioritization (Briggs & Harris, 1990), peer monitoring (Zimbardo et al., 2003), and an enhanced sense of responsibility (Briggs & Harris, 1990) have been shown to be outcomes of team testing. Each of these skills is practiced during the team-testing process, further preparing students to use these skills in future administrative roles.

Communication, group process skills, conflict resolution, and consensus building, also elements of ELCC Standard 3, have been shown in the literature to be outcomes of team testing. Several studies showed that team testing increased students' social and communication skills (Hurrien et al., 2006; Lockemy & Summers, 1994; Lou et al., 1996; Nowak, 1996). Still others found that problem solving, cooperation, and consensus building were also enhanced by team testing (Briggs & Harris, 1990; Hurrien et al., 2006; Lou et al., 1996; Zimbardo et al., 2003).

RESEARCH STUDY

Purpose of the Study

The purpose of this study was to determine the impact of team testing on the success of school leadership students enrolled in a research methods course. This study was initiated in response to an article by Hurrien et al., in the February 2006 issue of *Phi Delta Kappan*. In that article, Hurrien and colleagues proposed that team testing promotes individual academic success and social growth.

Research Questions

Four research questions were used to frame this study:

1. Does team testing improve student achievement on a final exam?
2. Is student achievement impacted if students select the option to team test on a final exam?
3. Does team testing develop students' interpersonal skills?
4. What are students' impressions of team testing?

To address these four questions, a quasi-experimental two-part mixed methods study was developed. In Part 1, students were placed in teams for a final exam or were tested individually. This phase of the study provided quantitative data. The teamed students were also given an open-ended survey to determine the interpersonal skills used during the exam and the students' impressions of the experience. This survey provided qualitative data. In the second part of this study, a different sample of students was given the option to team up for a final exam or take that same exam individually. This option was given in response to data gathered in the qualitative portion of the first part of the study. Only quantitative exam score data were collected during the second part of this study.

Participants

One hundred eighty graduate-level school leadership students participated in the study. These 180 students were selected based on their enrollment in 1 of 10 sections of the course Educational Research. Section sizes ranged from 8 to 27 students.

Data Collection

As part of this study, 180 students' scores on a criterion-referenced final exam and qualitative survey data from a subgroup of these students were collected and examined. Although the exam is thought to have content validity, its statistical reliability was not determined.

The treatment under investigation included two-person instructor-assigned and self-selected pairs. The control group ($n = 133$) for this study included students in sections of Educational Research taught by the same instructor and given the same exam taken individually. The three treatment groups used in this study were also taught by the same instructor and were given the same exam. Treatment Group 1 ($n = 20$) included students assigned to two-person teams by the instructor. Treatment Groups 2 ($n = 5$) and 3 ($n = 22$) included students who chose to work individually or in pairs on the exam, respectively (see Table 1).

Table 1. Test Format.

Group	Test format	Number of students
Control	individual test	133
Treatment Group 1	paired test	20
Treatment Group 2	individual test by choice	5
Treatment Group 3	paired test by choice	22

An open-ended qualitative survey was given to all students in Treatment Group 1 ($n = 20$). This survey consisted of four questions soliciting feedback on the participants' experience in the team-testing format. These questions were as follows:

1. Would you want to do a team test again in the future? Why or why not?
2. What do you see as the benefits of a team test?
3. What do you see as the drawbacks of a team test?
4. Do you have any suggestions for ways to make the team test better? If so, explain.

This survey instrument was given after the close of the course and data were not collected or read until after student grades were posted.

Data Analysis

Student scores on the exam were entered into SPSS. Scores on the exam could range from 0 to 22. Mean scores and standard deviations were tabulated by test format (individual, paired, individual by choice, and paired by choice). A series of t tests was then run to determine if the scores of the treatment and control groups were significantly different. Effect sizes using Cohen's d were calculated for any significant findings.

The qualitative data gathered using the open-ended survey were analyzed by first reading all responses. Responses were then coded using open coding, as described by Strauss and Corbin (1998). Responses were then aggregated into categories based on similarity.

RESULTS

Quantitative Data

The mean scores and standard deviations of the control and treatment groups on the exam are shown in Table 2.

Table 2. Mean Scores and Standard Deviations by Test Format.

Group	Test format	Mean score	<i>SD</i>
Control	individual test	17.78	2.46
Treatment Group 1	paired test	19.08	0.82
Treatment Group 2	individual test by choice	18.76	1.80
Treatment Group 3	paired test by choice	18.70	1.79

A significant difference was found between the scores of students in the control group and students in Treatment Group 1. The control group's mean score was significantly lower than Treatment Group 1's mean score, $t(83) = 4.62$, $p = .00$. Pairing for testing improved students' achievement on the exam with an effect size of 0.45.

Also significant was the overall difference between the scores of students who tested individually and those who tested in pairs. Allowing students to select their own team was recommended by 3 of the students in Treatment Group 1 during the first part of this study and is addressed by both Hancock (2007) and Zimbardo et al. (2003). Zimbardo and colleagues found that whether self-selected or paired, students performed better when teamed than when assessed individually. When the control and Treatment Group 2 scores were combined ($M = 17.82$, $SD = 2.44$), and when Treatment Groups 1 and 3 were combined ($M = 18.88$, $SD = 1.41$), there was a significant difference, $t(120) = 3.66$, $p = .00$, with those testing in pairs outperforming those testing individually. Whether paired or selecting the pair option, teaming improved students' achievement with an effect size of 0.53.

The data collected indicate that there were no significant differences between the mean group scores for Treatment Groups 1 and 2, $t(4) = 0.39$, $p = .72$, Treatment Groups 1 and 3, $t(30) = 0.90$, $p = .38$, or Treatment Groups 2 and 3, $t(25) = -0.07$, $p = .95$; that is, the average performance of each treatment group was not significantly different from another. Differences between the control group and Treatment Group 2, $t(136) = -0.88$, $p = .38$, and Treatment Group 3, $t(153) = -1.68$, $p = .10$, were also found to be not significant.

Qualitative Data

Of the 20 students who completed the survey instrument, 18 said that they would like to team test again. This level of student approval is consistent with data in the literature. Zimbardo et al. (2003) found that students overwhelmingly support the use of team testing as an assessment tool. The reasons students in this sample would like to team test again can be summarized by the following:

1. Team testing reduced stress and test anxiety.
2. Team testing allowed for feedback from partners.
3. Team testing forced students to think more critically about their responses.
4. Team testing enabled students to talk about their responses before writing them.

The reason given by 1 of the 2 students who would not like to team test again was that he “would rather rely on [him]self than take a chance of relying on someone else.” The other student did not give a reason for not wanting to team test again.

The benefits of team testing listed by the students in the sample can be summarized by the following:

1. Team testing reduces stress.
2. Team testing allows for collaboration.
3. Team testing enables students to think out loud.

The drawbacks of team testing listed by the students in the sample can be summarized by the following:

1. Team testing may not work if one student dominates the discussion.
2. Team testing may not work if one student is unprepared.

The only suggestion for improvement in the team-testing procedure was to allow students to self-select partners. The self-selection option was given by 3 students in the sample.

DISCUSSION

According to Hancock (2007), “in higher education, professors owe their students the opportunity to learn and practice the skills of collaboration and cooperation necessary to succeed in their future endeavors” (p. 225). Team testing provides these opportunities. The data from this study indicate that academic achievement is enhanced through the use of team testing ($d = 0.53$).

The survey data from this study also suggest that interpersonal skills, including collaboration, communication, and consensus building, are practiced when participating in team testing. Team testing therefore transformed a final exam from an assessment of knowledge alone into an activity with the potential to develop skills.

The professional standards of the ELCC require that students have the knowledge, skills, and dispositions to lead. Team testing allows for these skills to be practiced and assessed during the administration of written exams. According to Murray (1990), “group work also teaches students that management decisions are rarely the product of a single individual’s thinking and that collaboration often produces better solutions” (p. 150).

To equip aspiring leaders with the tools they need for the front lines, instructors must not only ensure that the content of courses is appropriate, but instructors must also work to change classroom practice. Incorporating different assessment methods into instructors’ teaching is one way to encourage the development of necessary leadership skills.

FUTURE RESEARCH

To implement team testing, the students surveyed and the literature make the following recommendations. First, a need for team cohesiveness exists (Lou et al., 1996; Nowak, 1996). According to Lou et al. (1996), team cohesiveness lead to increased learning due to a higher level of commitment to the team's task. Team building is suggested as a method to enhance team cohesiveness (Nowak, 1996; Zimbardo et al., 2003). In a future study of team testing, the use of team building and its impact on the success of the assessment method should be determined.

Further research should also be done on the interpersonal skills used during the team-testing process. An observational study to determine which skills are used during exam periods, and even during exam preparation periods, would be instructive. This study did solicit some of this information but was not comprehensive in that only self-reported skills were identified. Further research could be done to link the development of professional dispositions to team testing.

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A Gap Analysis of Principal Preparation Programs in Illinois: Viewpoints of Superintendents, Principals, and Teachers

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ABSTRACT

Many studies about preparation programs proclaim their faults. To review if Illinois principal preparation programs were preparing candidates with the needed competencies/skills to be effective, a gap analysis was conducted to compare current superintendents', principals', and teachers' perceptions of principal preparation on competencies/skills with those they deemed to be most important. A list of 17 principal competency/skills was organized from a comprehensive literature review. These skills were then used in surveys to address two questions: (1) to rate the degree of the quality of the 17 skills/competencies listed they received from their principal preparation program and (2) to rate how important it is for principal preparation programs to teach the competency/skill? Surveys were distributed to superintendents, principals, and teachers. The data summaries, findings, and the implications for preparation programs in the state of Illinois are shared.

INTRODUCTION

The importance of leadership by school principals cannot be overstated. A recent comprehensive review of research on school leadership concluded, "Of all factors that contribute to what students learn at school ... leadership is second only to classroom instruction" (Leithwood, Louis, Anderson, & Wahlstrom, 2004, p. 12). On June 25, 2007 the United States Supreme Court acknowledged the difficult yet vitally important role school principals serve (*Morse v. Frederick*, 2007).

There is an ongoing debate about the quality of university-based leadership preparation programs. Critiques of preparation programs come from multiple stakeholders, including professors of education leadership, seeking to prepare their students for 21st century schools. Stakeholders in the national debate include policy makers, practitioners, and other critics. One particularly strong voice is that of Levine, who in the 2005 report, *Educating School Leaders*, offered little to encourage anyone about the status of leadership preparation. A second powerful group of stakeholders are practitioners and professional organizations who share the burden of improving leadership preparation, among them the Southern Regional Education Board (SREB). In their report, the SREB (2006) contended that "there is a lack of urgency for refocusing...principal preparation programs based on the needs of schools and student achievement" (p. 4).

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Professors of education leadership understand the necessity to revitalize leadership preparation such as the K-12 schools face in their own particular renewal pressures. “Now, more than ever, there is a sense of urgency as many state and national level policy actors, urban districts, foundations, and educational leadership faculty question how best to prepare leaders, particularly given existing shortages of highly qualified principals and superintendents and the complex demands of leading school reform efforts” (Black & Murtadha, 2007, pp. 3-4). Now more than ever, there is a sense of urgency as a profession to be engaged in critical review and development of principal preparation programs capable of preparing leaders for the 21st century.

Given the elevated role of school leadership it was not surprising that Levine’s provocative assessment of school leadership preparation programs fomented considerable attention at both national and state levels (Darling-Hammond, La Pointe, & Meyerson, 2007). Therefore in a state response, the Illinois Board of Higher Education (IBHE) formed the Commission on School Leader Preparation in Illinois Colleges and Universities. The Commission was charged with considering and evaluating Levine’s 2005 report, examining Illinois school principal preparation programs, and recommending improvements in the preparation process.

In August of 2006, the Commission on School Leader Preparation in Illinois Colleges and Universities published its report to the IBHE entitled, *School Leader Preparation: A Blueprint for Change*, setting forth 25 recommendations, many focusing on school principal preparation. At the legislative level, the Illinois House of Representatives and Senate passed a joint resolution requiring the Illinois State Board of Education (ISBE), the IBHE, and the Office of the Governor to jointly appoint a state task force to “recommend a sequence of strategic steps, based on, but not limited to, the measures detailed in *Blueprint for Change*” (HROO66, p. 2, 2007) to implement improvements in school leadership preparation in the State.

The ISBE and the IBHE invited in August of 2007, the Illinois Council of Professors of Educational Administration (ICPEA) to conduct a gap analysis to inform the work of the ISBE/IBHE School Leader Task Force called for by the legislation. In acceptance, the ICPEA formed a working committee to gather and analyze gap-analysis data, and provide a white paper to the ISBE/IBHE School Leader Task Force. The definition of a gap analysis represents the incongruence in respondent perceptions of school leadership skills. This paper reviews some results of the surveys conducted as a part of the project to conduct the gap analysis of principal preparation programs in Illinois.

WHICH LEADERSHIP SKILLS?

The ICPEA Special Working Committee (Committee) reviewed the literature concerning the skills and competencies needed for principal leadership. Using information from several sources, including the work conducted by the Illinois State Action Educational Leadership Project (IL-SAELP), the Committee focused on the research from the Mid-continent Research for Education and Learning (Waters, Marzano, & McNulty, 2003) that substantiated the following list of 17 skills/competencies for principals.

Table 1. Leadership Skills Chosen for the Study.

VISION	Establish a school vision with clear goals on improving student achievement and keeping those goals as the primary focus in the school
CULTURE	Foster and communicate a school culture of shared beliefs and ideals about schooling that promote a sense of community, cooperation, and guides school operations
OPERATIONS	Establish a set of standard operating procedures and routines to efficiently manage my school for a safe and orderly environment
DISCIPLINE	Develop and enforce discipline procedures that protect teachers from issues and influences that would detract from their teaching time or focus
DISTRIBUTED LEADERSHIP	Adopt a paradigm of distributed leadership by involving teachers in the design and implementation of important decisions and policies
ADAPTIVE LEADERSHIP	Adapt leadership behaviors to the needs of the current situation and feel comfortable with dissent in regards to my actions
SITUATIONAL LEADERSHIP	Become situationally aware of the details and undercurrents in the running of the school and use this information to address current and potential problems
PROFESSIONAL DEVELOPMENT	Provide professional development and other learning opportunities to faculty and staff so they learn the most current theories and practices. Make the discussion of these a regular aspect of the school's culture
MONITOR SCHOOL EFFECTIVENESS	Monitor the effectiveness of school practices and evaluate their impact on student achievement using multiple assessments and data methods
VISIBLE	Create opportunities to remain visible in the school and establish strong lines of communication with teachers and students
CELEBRATE	Recognize and celebrate school accomplishments using contingent rewards when appropriate and acknowledge failures affirming faculty, staff, and student success and encouraging them to make improvements in their teaching and learning
CHANGE AGENT	Serve as a change agent to actively challenge the status quo to improve student achievement, to inspire and lead new and challenging innovations, to optimize the talents of faculty and staff, and to optimize the benefits of innovative practices and technologies
ADVOCATE	Act as an advocate and spokesperson for the school to all stakeholders, including parents and community members
ALLOCATE	Allocate resources in a way that provides faculty with the materials and professional development necessary for successful practice
CURRICULUM	Acquire knowledge of curriculum, instruction, and assessment practices and use this knowledge when involved in the design of curriculum, instruction, and assessments
COMMUNICATION	Understand how to develop lines of communication with, and to advocate for equitable learning opportunities and success for all students, regardless of socioeconomic background, ethnicity, gender, disability, or other individual characteristics
PERSONAL	Recognize and be sensitive to the personal lives of faculty and staff

DATA COLLECTION AND ANALYSIS

To conduct the gap analysis of Illinois principal preparation programs, the Committee undertook the following data collection activities. A principal preparation survey was developed to collect data from Illinois school superintendents. This survey was designed with two goals: 1) to obtain superintendent perceptions of “the degree of the quality of the skills of the most recently hired principal,” and 2) to gather superintendent estimates of the importance that

principal preparation programs should teach the 17 skills/competencies listed on the survey. The survey was distributed to and completed by Illinois superintendents who attended the September 6, 2007, ISBE Superintendents' Conference in Springfield, Illinois.

Principals who attended the Illinois Principals' Fall Conference in Peoria, Illinois, on October 14, 15, and 16, 2007 were administered a survey similar to the one given to the superintendents. The principal survey focused on two goals: 1) to rate the degree of the quality of the 17 skills/competencies listed that they received from their principal preparation program and 2) to rate the importance of principal preparation programs to teach the listed skills/competencies.

To triangulate the data gathered from superintendents and principals, the Committee requested both the Illinois Education Association (IEA) and the Illinois Federation of Teachers (IFT) to survey their memberships. Two goals for the survey were: 1) to indicate the degree to which principals manifested these skills/competencies in daily leadership practice and 2) to gather classroom teacher perceptions of the importance of list of skills/competencies needed to be a successful principal. Both the IEA and the IFT responded to this request by electronically administering the survey to their respective members.

Only fully completed surveys were used; resulting in 157 superintendent, 103 principal, and 803 teacher surveys being included in the data analysis. The *Statistical Package for the Social Sciences* was used to run statistical analysis of the data resulting in numerical means, frequency distributions, and standard deviation results.

FINDINGS

Survey responses from superintendents, principals, and teachers were analyzed statistically. Table 2 represents survey respondents' answers to the questions: (for superintendents) "indicate the degree of the quality of the skills of your most recently hired principal"; (for principals) "indicate the degree of the quality of the skills you received from your preparation program"; and (for teachers) "indicate the degree of the quality of the skills of your principal". Respondents indicated their choice from the following scale: 1 = unprepared, 2 = little preparation, 3 = adequately prepared, 4 = very well prepared, 5 = outstanding preparation.

Table 2. Degree of Attainment of Principal Preparation Skills/Competencies
(Superintendent = S Att, Principal = P Att, and Teacher = T Att).

	Vision	Culture	Operations	Discipline	Distributed Leadership	Adaptive Leadership	Situational Awareness	Professional Development	Monitor School Effect	Visibility	Celebrate	Change Agent	Advocate	Allocate Resources	Curriculum	Communicate	Personal
S Att	3.56	3.69	3.93	3.80	3.52	3.46	3.47	3.43	3.46	4.02	3.84	3.40	3.70	3.46	3.56	3.61	3.67
P Att	3.37	3.48	3.25	3.05	3.34	3.23	3.16	3.27	3.12	3.71	3.36	3.36	3.61	3.19	3.39	3.30	3.06
T Att	3.32	3.10	3.18	2.87	2.99	2.82	2.93	3.43	3.18	3.09	3.29	3.03	3.23	3.22	3.15	3.16	3.09

Superintendents, principals and teachers were surveyed as to their perceptions of the importance of preparation programs to teach the 17 skills/competencies. Respondents estimated

how important it is for principal preparation programs to teach the competency / skill listed. Next, respondents indicated the importance that principal preparation programs teach the skill/competency by choosing one of the following: 1 = not important, 2 = fairly important, 3 = important, 4 = very important, 5 = absolutely important. Survey results are presented in Table 3.

Table 3. Importance of Principal Preparation Skills/Competencies (Superintendents = S Im, Principals = P Im, and Teachers = T Im).

	Vision	Culture	Operations	Discipline	Distributed Leadership	Adaptive Leadership	Situational Awareness	Professional Development	Monitor School Effect	Visibility	Celebrate	Change Agent	Advocate	Allocate Resources	Curriculum	Communicate	Personal
S Im	4.68	4.53	4.55	4.40	4.25	4.19	4.27	4.20	4.55	4.58	4.26	4.56	4.41	4.20	4.47	4.37	3.98
P Im	4.56	4.49	4.48	4.42	4.28	4.24	4.20	4.37	4.55	4.62	4.37	4.47	4.38	4.18	4.53	4.46	4.31
T Im	4.42	4.38	4.46	4.46	4.27	4.27	4.32	4.23	4.27	4.41	4.26	4.30	4.32	4.40	4.34	4.40	4.23

Table 4 displays the incorporation of the two tables previously presented. It is a subtraction of perceived attainment of skills/competencies scores from the scores of the importance of skills/competencies taught in principal preparation programs. Data represent the perceived “gap” between the skills’ importance and the attainment of the skills by current practicing principals. While all three groups were positive in their reporting, the gap of perceptions between skills importance and attainment appears least for superintendents, moderate for principals themselves, and the largest for teachers. This finding seems to concur with others who have studied the issue (Young, Crow, Orr, Ogawa, & Creighton, 2005).

Table 4. Gaps Between the Perceived Attained Degree (Att) of Principal Preparation Skills/Competencies and Importance (Im) of Principal Preparation Skills/Competencies (S = Superintendent, P = Principal, T = Teacher).

	Vision	Culture	Operations	Discipline	Distributed Leadership	Adaptive Leadership	Situational Awareness	Professional Development	Monitor School Effect	Visibility	Celebrate	Change Agent	Advocate	Allocate Resources	Curriculum	Communicate	Personal
S Gap	1.12	.84	.62	.60	.73	.73	.80	.77	1.09	.56	.42	1.16	.71	.74	.91	.76	.31
P Gap	1.19	1.01	1.23	1.37	.94	1.01	1.04	1.10	1.43	.91	1.01	1.11	.77	.99	1.14	1.16	1.25
T Gap	1.10	1.28	1.28	1.59	1.28	1.45	1.39	.80	1.09	1.32	.97	1.27	1.09	1.18	1.19	1.24	1.14

Is the reported gap worthy of further study and consideration? Superintendents generally rated principals on the skills/competencies list higher than principals rated themselves and teachers generally rated principals lower than the principals rated themselves. The closer the

respondents' proximity to the classroom the greater the gap between the importance of the skills/competencies of principals and the skills/competencies the principals demonstrated.

Table 5 displays the frequency distribution of the 5 scales used by the respondents to rate the degree of attainment of the 17 skills/competencies. The 1 & 2 scales (unprepared and little preparation) were combined as were the 4 & 5 scales (well-prepared and outstanding preparation).

Table 5. Frequency Distribution of Respondents Perception of the Attainment of the Skills/Competencies in Three Levels.

Skill / Competency	Levels of Preparation: (1) unprepared, (2) little preparation, (3) adequate preparation, (4) well-prepared, (5) outstanding preparation	Superintendent Perception (N = 157):	Principal Self Perception (N = 103):	Teacher Perception (N = 803):
Vision	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	12% 37% 51%	19% 36% 42%	27% 25% 48%
Culture	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	8% 31% 61%	19% 31% 50%	36% 23% 41%
Operation	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	7% 21% 72%	22 % 38% 40%	34% 21% 45%
Discipline	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	8% 24% 68%	28% 38% 34%	44% 20% 36%
Distributed Leadership	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	12% 40% 48%	22% 32% 46%	39% 24% 37%
Adaptive Leadership	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	18% 30% 52%	26% 30% 44%	45% 21% 34%
Situational Awareness	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	14% 34% 52%	27% 33% 40%	42% 22% 36%
Professional Development	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	16% 36% 49%	28% 26% 46%	25% 25% 50%
Monitor	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	18% 33% 49%	31% 31% 38%	32% 25% 43%
Visibility	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	5% 18% 77%	13% 29% 58%	37% 20% 43%
Celebration	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	5% 27% 68%	18% 36% 46%	29% 26% 45%
Change	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	18% 34% 48%	22% 27% 51%	37% 24% 39%
Advocate	Unprepared & Little (1 & 2) = Adequate preparation (3) = Well & Outstanding (4 & 5) =	10% 28% 62%	11% 36% 53%	31% 24% 45%

Allocate	Unprepared & Little (1 & 2) =	16%	25%	31%
	Adequate preparation (3) =	34%	37%	25%
	Well & Outstanding (4 & 5) =	50%	38%	44%
Curriculum	Unprepared & Little (1 & 2) =	14%	22%	33%
	Adequate preparation (3) =	35%	30%	22%
	Well & Outstanding (4 & 5) =	51%	48%	45%
Communication	Unprepared & Little (1 & 2) =	11%	22%	34%
	Adequate preparation (3) =	34%	32%	23%
	Well & Outstanding (4 & 5) =	55%	46%	43%
Personal	Unprepared & Little (1 & 2) =	9%	34%	38%
	Adequate preparation (3) =	34%	26%	18%
	Well & Outstanding (4 & 5) =	57%	40%	44%

DISCUSSION OF THE FINDINGS

Based upon the data by adding together the “adequate,” “well,” and “outstanding” percentile rankings from Table 5, the survey participants perceived that principal preparation programs are doing an “adequate” to “outstanding” job of preparing those seeking the principalship with entry-level skills/competencies. Superintendents’ percentile rankings of the preparation of principals ranged from 82% to 95% adequate to outstanding. Principals’ percentile rankings of their own preparation ranged from 64% to 89% adequate to outstanding on the 17 skills/competencies. And teachers’ percentile rankings of the preparation of principals ranged from 55% to 75% adequate to outstanding on the 17 skills/competencies.

Why is there a seeming gap of perception in the range of the three groups? As Table 4 demonstrates the closer the respondents’ role is to the classroom, the greater the gap between the respondents’ perceived skill/competency in preparation and the importance of that skill/competency. For example in the skill/competency of distributed leadership, the superintendents’ reported gap was .73, the principals’ reported gap was .94, and the teachers’ reported gap was 1.28. There could be several arguments for this perception gap. From a Tayloristic organizational viewpoint, the superintendent would have a more comprehensive viewpoint of the work of the principal and therefore would have an advantage in perception. From a human sociological or psychological perspective, principals would rate themselves lower because psychologically people tend to rate themselves lower than others would rate them. From a systemic construct, teachers would have the best perspective because they are the closest to the real work of the school and the real work of the principal.

The data do not answer a very important issue for principal preparation programs: are the skills/competencies being taught in principal preparation programs the appropriate skills? Table 3 suggests that all three groups were in agreement that the 17 skills/competencies listed were “very” to “absolutely” important with average scores of 4-plus on a scale of 1 to 5. While respondents demonstrated that these skills/competencies were important, they did not have the opportunity to add additional items to the list.

Another very important concern for principal preparation programs is to determine the entry-level skill/competency versus the skill/competency of a veteran principal. Just as in the classroom, the beginning teacher can not be expected to perform at the same skill/competency level as a veteran teacher; the beginning principal can not be expected to perform at the same skill/competency level as a veteran principal. While the data from this study help to determine the skills/competencies, data do not address the level needed for an entry-level principal.

CONCLUSIONS

Based on the data, the following conclusions may be drawn: 1) principal preparation programs are perceived to be doing an “adequate” to “outstanding” job of preparing entry-level skills/competencies for those seeking the principalship by all three responding groups, 2) superintendents believe that principals are better prepared than reported by principals, and 3) teachers perceive principals are less well prepared than either the principals or the superintendents report. A limitation of this analysis was not disaggregating the data, namely, separating superintendent, principal, and teacher responses by years in their profession.

Another consideration of the results is the role of the respondent in relation to their responses. Do superintendents have the comprehensive big picture of the school district they serve and as such have a better perspective of principals’ work? Do principals under-rate themselves? Do teachers have a more systemic view of the school and as such have a better perspective when determining the principal’s skills. Additional research needs to provide answers to these questions.

This gap analysis suggests other research questions: 1) what should be entry-level skills/competencies versus those of an experienced principal, and 2) how can it be assured that preparation programs are held accountable for the development of entry-level principal skills/competencies versus the skills/competencies of experienced principals?

Equally important, are entry-level principals able to apply these skills/competencies to produce results? The data leads ineluctably to the conclusion that from the viewpoint of superintendents, principals, and teachers, the 17 skills/competencies are the necessary skills to guide principals in their work. Data from superintendents, principals, and teachers have minimal variation in their responses and the average of the responses for all groups was above 4 on a 5-point scale.

However, that is where the seeming overall agreement ends. As the data demonstrate, the farther away from the classroom the respondent was, the wider the discrepancy between the perceived attainment and the perceived importance of the skills/competencies. The understanding of the discrepancy is not able to be identified from the data. The surveys identified the discrepancy; to determine causation further in-depth research is recommended.

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Preparing School Leaders to Build and Sustain Engagement with Families and Communities

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INTRODUCTION

The preparation of school leaders has, over the years, addressed the need for principals to involve parents in students' educational experiences (Epstein, 1991; 1995; 2003). Purported benefits of increased parent involvement included improved student outcomes and more positive relationships between parents and schools. Critics of traditional approaches to parent involvement have, however, identified the ways in which a majority of schools have defined parent involvement in limited ways that have tended to focus on parents from middle-class or advantaged backgrounds (Capper, 1996; de Carvalho, 2001; Lopez, Scribner, & Mahitivanichcha, 2001). They point out that activities typically associated with parent involvement—including fundraising for athletics, music, and drama; help with increasing amounts of homework; and active volunteerism in extra curricular activities—are more likely to be accessed by parents with ample time and resources, as well as the power and cultural capital that allow them to be a part of the “social network” of schooling and the school community (de Carvalho, 2001).

With increasing attention to the needs of families from diverse backgrounds and the call to re-define schools in the context of a social justice framework (Dantley, 2002; Pounder, Reitzug & Young, 2002; Riester, Pursch, Skrla, 2002; Riehl, 2000), there is a concurrent need to re-consider how we define the connections between families and schools. While it is beyond the scope of this chapter to fully define social justice, our focus is on the ways in which school leaders need to acknowledge the increasing diversity in our schools and recognize social justice as both a means and an end to bringing about greater equity and opportunity for students and families who have been de-valued on the basis of ability, race, language, poverty, gender, and sexual orientation (Brown, 2004; Pounder et al., 2002; Riester et al., 2002). In the context of families, school leaders have the unique responsibility to lead in ways that create “community centered” (Larson & Murtadha, 2002, p. 148) and family inclusive schools. In this new framework, leaders need to think about how to provide substantive opportunities for families and community members to engage in important decisions that impact student learning and achievement and the culture and curriculum of the school. It is a commitment to partner with parents and families in ways that expand their traditional roles and incorporate them as valued players in the school system. In many ways, it means inviting parents and families to help shape the organization of the school and developing policies and processes to support family engagement.

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Our framework for looking at connections with families and communities through a social justice lens is influenced by a number of scholars who have considered issues such as understanding the role of moral leadership (Sergiovanni, 1992; Starrat, 1999), multicultural education (McKenzie & Scheurich, 2004), instructional leadership (Blase & Blase, 1999a; Southworth, 2002), democratic discourse (Rusch, 1998), community engagement (Dryfoos & Maguire, 2002), and strategies for building shared understandings of inclusive school cultures (Riehl, 2000). In essence, social justice leaders are those committed to serving the common good, giving voice to multiple perspectives and people in decision-making, engaging in actions that foster inclusive cultures, and working toward policies and practices that promote social equity. These social justice leaders are willing to share decision-making and authority with members of the community. We see such leaders as orientated toward a vision for engaging families and parents with dignity and respect.. Many social justice theorists argue that if schools are going to improve opportunities for learning for all students, the “relationship between school leaders and the communities they serve must change” (Larson & Murtadha, 2002, p. 148). Such an approach implies the need for a different set of knowledge, skills, and dispositions among school leaders that will allow them to recognize and connect to the needs of families, including those from diverse backgrounds. Likewise, a new vision for school and family connections needs to move beyond an historical definition of involvement that focused on limited definition of families and parenting and recognized “involvement” through high visibility in school activities and/or through parental participation with homework. The new vision replaces the focus on parents with a focus on families, recognizes the role of diversity in school and family interactions, and views the resulting partnerships among families and schools as mutual, culturally defined, and located in communities as well as in the school building. We describe a variety of ways in which principals and other school leaders can enact a paradigm shift away from traditional approaches to parent involvement toward a more inclusive, culturally responsive and engaging approach to connecting with families. We consider, too, how this new approach requires changes in the preparation of school leaders and offer examples of promising practices for higher education programs.

SEARCHING FOR A NEW PARADIGM FOR FAMILY INVOLVEMENT

In searching for a new way to conceptualize family involvement, there is a need to identify some new language to describe the breadth of ways in which families and school professionals might be engaged with one another in a more mutual and culturally responsive relationship. The term “parent involvement” has often been used to describe activities such as parent conferences, parent-teacher associations, parent newsletters, parent sponsors, parent chaperones, and other peripheral activities where parents are “invited in” to the school to provide some supportive service. In our view, this traditional approach to parent involvement suggests a unidirectional approach in which school professionals define the activities and boundaries of involvement, and parents respond accordingly. Language used in a new definition would illustrate a more multidirectional, democratic and mutual relationship in which family members are recognized as equal leaders and participants in determining what constitutes desirable relationships, policies, processes, and interactions with schools. As school leaders create bonds and shared purposes with families concerning teaching and learning of students, they foster new structures for family engagement leading to more meaningful interactions (Young & Laible, 2000). Newer strategies and structures might

include involving parents and family members to serve on curriculum committees, establishing parent-action committees, offering parent/community workshops and family nights and creating web-based family-school resource directories. Processes in which school professionals reach out to families include arranging parent conferences at work sites, conducting home visits with all new kindergarten students in a given school year, and other forums for engaging parents in leading and solving complex problems for their children as well as for the community as a whole. While we view the meaning implied by a term such as “family and school collaboration” as the ideal, we acknowledge that a majority of school and family relationships have yet to achieve a truly equitable partnership that could be described in this way. We use “family engagement” throughout this chapter to describe an approach that, while not perfect, goes beyond “parent involvement” and tries to capture a more dynamic and inclusive relationship among schools and families. We use “family” rather than “parent” to reflect the changing composition of families. We use “engagement” in place of “involvement” to suggest the idea that the activities and interactions occurring among families and school professionals may be initiated by either party. That being said, we acknowledge that the term “engagement” may still be a limited way to describe the types and depth of relationships that we hope families and school professionals can achieve over time. In order for this new approach to be implemented, we offer the following set of five principles as a template for school leaders and to consider as they move from encouraging “parent involvement” to “family engagement.”

Five Principles for Leaders Committed to Social Justice

First, there is a need for school leaders to explore the cultural framework of the community to identify and understand the context and implications of diversity as it is experienced by and within that community (Riehl, 2000; Shields, 1996). Leaders could conduct an environmental scan of their communities to develop a better understanding of the needs, assets, and cultures that their students and families experience. Contact with area businesses, community agencies, and religious leaders would expand their knowledge. School leaders need to consider what it really means to empower family members to participate in a dynamic system in which school personnel and families engage in conversation and decision-making. In this regard, school leaders will need to be open to re-defining the range of activities and opportunities that constitute this new definition of family engagement. Related to this, school leaders will need to collaborate with families to create new opportunities for family members to develop their approaches to leadership. There is a need to move beyond traditional approaches to “parent training” to a more contextual and experiential approach to cultivating leadership among family members. Parents, grandparents, surrogate parents, and children can be encouraged to participate in a variety of activities in which their leadership is sought out and encouraged. These might include family forums, family study groups, community councils and action research approaches in which family members are engaged in assessing strengths and needs within their schools and communities. School leaders need to consider family engagement occurs both within the school and in the community. There are family members throughout the community who are willing and able to engage with students on a variety of activities that may be occurring in the community during the evenings and weekends, including activities such as mentoring, participation in community development efforts, and involvement in community organizations, including places of worship. Through such experiences, families and parents participate in activities and

experiences that contribute to the development of children and youth and foster connections between the schools and the community. Moreover, through expanding the location of activities designed to foster family engagement, family members who work and are otherwise engaged during the school day can be connected to those who have the ability to come into the school during the school day to assist in classrooms, go on field trips, etc. School leaders need to consider the link between family engagement and the promotion of democratic and social-justice ideals in schools. A challenge faced in many schools today is the narrowing of the curriculum from a focus on democratic ideals and citizenship toward a singular focus on academic achievement as measured by standardized tests (English & Steffy, 2005). One tenet of social justice is to make sure that all students are prepared for democratic citizenship and that learning experiences are fostering the growth and success of children across academic, social and community contexts (Larson & Murtadha, 2002). Through the engagement of family members, school leaders and educators are better positioned to understand the emotional and social needs of their students. In many ways, parents and families become the bridge through which school leaders can connect with the lives of their students, and the voice of a more democratic approach to education. Their contributions need to be valued equally. Finally, educators need to be prepared to direct resources in ways that support a broader and more community-based set of activities and opportunities that bring school personnel and families together. Examples might include community forums involving family members and educators, family education workshops, service-learning projects, community study groups, and the development of “community spaces” within the school.

TAKING ACTION: DEFINING SPECIFIC ROLES FOR SCHOOL LEADERS

School leaders who are involved in creating new approaches to family engagement that are guided by the principles described above need to lead in ways that create and demonstrate receptive school cultures (Riester et al., 2002). These leaders need to be skilled in a) developing a shared vision and culture that recognizes the strengths, diversity and context of families in the community, b) promoting effective instructional practices that meet the diverse needs of students and families, c) creating school structures and processes that value collaboration, shared leadership, and cultural competence, and d) connecting with family members and community leaders to cultivate further engagement of families and community members. Each of these skills and dispositions is explored in greater detail below.

Developing a Shared Vision and Culture

School leaders who are committed to building positive connections and engagement with all families need to take an active role in helping to articulate a belief and a vision in their schools that emphasize the attributes and potential of all students and their families. In thinking about “all” families, school leaders need to consider the full range of diversity of families in their communities, including families from diverse socioeconomic and cultural backgrounds, families in which English is not the primary language, families with children who have disabilities, and families whose constellation differs from the traditional nuclear family. Related to this, leaders need to understand how membership in a particular form of diversity is related to membership and status within the community as a whole. School leaders

need to understand and find ways to recognize the strengths that exist across the families in their communities. Effective school leaders are able to use their contextual knowledge of families and the community to engage teachers, staff, students, and families in articulating a vision that is inclusive, respectful, and represents the needs of community members. They are also able to promote personal reflection on the part of teachers, students, and community members regarding the ways in which deeply held values and beliefs about diversity come into play in our day-to-day lives as well as within the school culture (Brown, 2004). In our own research on effective school leaders (Furney, Aiken, Hasazi, & Clark/Keefe, 2005), we observed the power of principals who were continually able to ask teachers and staff members to reflect upon the degree to which the needs of students from diverse backgrounds were effectively addressed through the school's vision and pedagogy.

In addition to developing a shared vision, school leaders need to set a context for participatory leadership that includes multiple opportunities for dialogue (Pounder et al., 2002), not only between and among teachers, but also between and among families and teachers and school leaders. These dialogues need to occur not only in school settings, but in community settings such as community centers, places of worship, health centers, and other places where community members are likely to come together. These dialogues must be planned collaboratively with community members, as effective school leaders recognize that "change may be resisted if it is perceived as a top-down mandate" (Godek, Furney, & Riggs, 2004), and understand the need to keep visions vital by re-visiting them often to engage teachers and families in discussing various perspectives and practices. A teacher in one of our studies noted how his principal was able to:

...create forums and processes that encourage this kind of open communication...He seems to want and expect diverse viewpoints and then creates ways for all of us to take a new look at our own beliefs and assumptions, especially about students at risk. (Furney et al., 2005, p.555).

When a school's practices are not in keeping with its vision, leaders need to be skilled in identifying and addressing resulting inequities and moral dilemmas (Wong, 1998). As Sergiovanni (1992) noted, leaders must at times lead through "moral outrage," taking steps to include teachers, families and communities in difficult conversations about the negative effects of the school's policies, practices, and procedures. In other words, through parent/family engagements and forums, leaders may find themselves more directly confronted with issues of inequity; they must be skilled and comfortable in navigating these conversations and confronting the very disparities they face. Leaders who embrace a social-justice framework need to demonstrate and model the ability to surface inequities in their school and communities by engaging families, school personnel, and other community members in examining and challenging assumptions to bring about change. Establishing a school vision is an important and challenging task; however, the vision needs to be re-visited often to ensure that its underlying premises continue to resonate among school and community members.

PROMOTING INSTRUCTIONAL PRACTICES THAT MEET THE DIVERSE NEEDS OF STUDENTS AND FAMILIES

Over the past 20 years, the literature on school leadership has emphasized the importance of principals as instructional leaders for all students (Blase & Blase, 1999a; Blase & Blase, 1999b; Schmoker, 2004; Sheppard, 1996). Pressures related to high-stakes testing and increased school accountability, as well as the range of managerial and bureaucratic tasks that confront principals on a daily basis, make it difficult for many to fully adopt this role (English & Steffy, 2005; Pounder et al., 2002). Still, the literature on the current challenges and context of school leadership is clear about the need for principals to understand and promote effective practices in instruction, curriculum, and assessment as the foundation for data-based decision-making and school improvement (Brock & Groth, 2003; Janisch & Johnson, 2003; Munoz & Dossett, 2004). Moreover, for school leaders who are concerned with building and sustaining positive connections to families, there is a need to understand how a school's selection and use of particular curricula and instructional strategies reflect culturally responsive practices (Delpit, 1992).

Understanding Effective Curricula and Instructional Practices

Leaders who are fully engaged in understanding effective curricula and instructional practices engage in a variety of practices with respect to students and teachers. These include regular visits to classrooms, the use of specific praise and feedback with teachers, and frequent discussions about curriculum, instruction, and assessment with teachers (Blase & Blase, 1999a; Blase & Blase, 1999b; Southworth, 2002). They support teachers in finding ways to promote student engagement in learning, and to implement research-based strategies designed to meet the diverse needs of students in general education classrooms (Quinn, 2002; Slee, 2001). The latter include strategies such as peer tutoring, cooperative learning, positive behavioral supports, school-wide approaches to literacy and numeracy, and effective use of individual accommodations (Sapon-Shevin, Ayres, & Duncan, 2002; Tomlinson, 1999; Tomlinson & Allan, 2000). However, looking at curricula and instruction cannot take place without deeper understanding of the community and its needs. Thus, principals also need to ensure that the specific curricula and strategies in instruction and assessment are a good match for students' diverse cultural and individual needs (Harthun, Drapeau, Dustman, & Marsiglia, 2002; Janisch & Johnson, 2003). School leaders need to help teachers examine the relationship between the core curriculum and the cultures and values of the families and communities they serve (Shields, 1996) by involving parents on curriculum committees, textbook selection committees, and committees charged with examining student outcome data. Pounder et al. (2002) caution that in the current era of education reform, principals may feel pressured to engage in superficial approaches to improving student performance. These include "teaching to the test," excluding students with learning challenges from taking tests, or failing to report the scores of students with disabilities. Leaders who embrace a social-justice framework seek instead to implement an "authentic pedagogy," in which students learn in a culturally responsive environment about things that really matter to them and their families (Finnan, Schnepel, & Anderson, 2003). Consideration for the distinct languages, histories, goals, and values that emerge from the communities, families, home, and individual learners becomes an important focus for a curriculum that is inclusive and supportive of students and their families (Shapiro & Stefkovich, 2001).

CREATING SCHOOL STRUCTURES AND PROCESSES THAT VALUE COLLABORATION, SHARED LEADERSHIP, AND CULTURAL COMPETENCE

Recently, research on school principals has increasingly recognized leadership and change as a collaborative enterprise closely tied to the realities of classrooms, the core purpose of individual schools, and the families and communities that the school represents (DuFour & Eacker, 1998; Fullan, 2002; Fullan, 2003; Huffamn & Jacobson, 2003; Kirst, McLaughlin, & Massell, 1990; Schmoker, 2004; Senge, 1990). Effective leaders understand the importance of collaborative teaming and action-oriented inquiry, and how these processes help to ensure the success of students from a variety of backgrounds (Schmoker, 2004). The literature has identified related effective principal behaviors, including empowering teachers through talking openly and freely with them about teaching and learning, providing time and encouraging peer connections, and leading in ways that motivate and facilitate growth among teachers (Blase & Blase, 1999a). School leaders need to ensure that their efforts to engage families in dialogues about their schools' vision, culture and curriculum truly value the voices of family members when important school decisions are made. For example, the literature supports the use of problem-solving teams with high levels of involvement from principals, teachers, and family members (Furney, Hasazi, Clark/Keefe, & Hartnett, 2003; Furney et al., 2005; Shepherd, 2006). These teams bring administrators, educators and family members together for the purpose of developing and monitoring plans to support students experiencing challenges in school. School leaders must reinforce a sense of parity among all team members and acknowledge the power of family members as well as of school personnel during decision-making.

Principals who value the engagement of families ensure that school personnel understand, respect, and value the unique experiences, strengths and challenges of students and families from diverse backgrounds. Leaders play a key role in helping teachers to examine their own assumptions about diversity in its many manifestations, and to reflect on how those assumptions positively or negatively affect their interactions with children and families. In a classic study of the interactions between special education professionals and Puerto-Rican families who had children with disabilities, Harry (1992) articulated how school personnel failed to understand the cultural context of the families, and in turn, misinterpreted parents' actions and participation in education planning meetings. Rao's (2000) case study of "Rose," an African-American mother of a child with disabilities, portrayed a similar lack of cultural understanding on the part of school and agency personnel. They used language and labels that held negative connotations for Rose and conflicted with her positive construction of her son's challenges. Over time, she lost a sense of trust in the service providers and systems that she had expected would offer her support and her team lost its ability to provide effective support for her and her son.

Stories such as these emphasize the need for principals to examine the degree to which the understanding of and investment in families of diverse backgrounds are reflected in their schools' overall culture, classrooms, team processes, and daily operations (Lopez, Scribner, & Mahitivanichch, 2001; Scheurich, 1998; Shapiro, Monzo, Rueda, Gomez, & Blacher, 2004). Some examples of family-centered and culturally responsive practices may be found in the literature related to children with disabilities and their families from diverse backgrounds (Christensen & Rizvi, 1996; Scheurich & Laible, 1995). These suggest that school leaders need to ensure that parents receive information on legal and education issues in their first language and prior to any formal meetings scheduled with school personnel. Education

planning meetings need to address a range of family needs, including families' preferences for meeting times, child care, and transportation issues. It may be comfortable and productive to go to families' homes to conduct meetings pertaining to their children. No matter where held, meetings need to be conducted in a manner that demonstrates cultural sensitivity and promotes trust, open communication, and respect (Harry, 1992; Rao, 2000; Salembier & Furney, 1997). School leaders need to model collaborative and inclusive approaches to facilitating meetings and ensure that teachers have the skills and knowledge they need to engage in collaborative teaming processes and family-centered practices.

CONNECTING WITH FAMILY MEMBERS AND COMMUNITY LEADERS TO CULTIVATE THEIR ENGAGEMENT

Principals play a vital role in ensuring that schools demonstrate a commitment to bringing families into the community and the community into the schools (Capper, 1996; Dryfoos & Maguire, 2002; Furman, 2002; Kirst, McLaughlin, Massell, 1990; Scheurich, 1998). Principals need to take the lead on connecting families of children from diverse backgrounds to appropriate supports and activities within the school, as well as to supports and services available in the community. Leaders can promote school and community collaboration by stressing the need for integrated school and community services, collaborative partnerships that place parents at the center of planning efforts, and seamless connections between the school and community (Hasazi, Furney, & DeStefano, 1999; Kochlar-Bryant, 2008; Smrekar & Mawhiney, 1999). School leaders can further the goal of community engagement various ways, including creating positions for school counselors or social workers whose specific role it is to establish and maintain connections with families. School mentoring programs that are coordinated by paid school staff can help connect community members with students through after school homework clubs, sports activities, drama clubs, service activities and other activities occurring in the school or community. A comprehensive model of community engagement may be found in the idea of a full-service community school (Dryfoos & McGuire, 2002), in which a range of medical and dental health, mental health, employment and adult education services are provided within the school's walls. A feature of the full-service community model is that services are available beyond school hours to all community members, including those who do not have children in the school and /or to people who did not complete school (Smrekar & Mawhiney, 1999). We do know that public schools are serving more diverse student populations now than ever before and require more inclusive schools and re-defined partnerships and relationships between schools, families and communities. The work of school leaders must embrace and accomplish these goals if we are to be successful in changing our schools to better meet the needs of diverse students and their families better (Riehl, 2000).

PREPARING SCHOOL LEADERS: EXAMPLES OF EFFECTIVE APPROACHES

The challenge of preparing school leaders who understand, value, and engage with families and communities has become part of the ongoing debate on how to improve preparation programs (Lyman & Vallani, 2002; Pounder et al., 2002). As we consider changes to our preparation programs we need to move beyond the application of knowledge and skills as a science of administration that has informed school preparation curricula for so long and has defined administrator work accordingly (Murphy & Louis, 1999). It is time to

embrace matters of social justice, equity, diversity, disability, and collaboration as core components of leadership preparation and to recognize the importance of families and communities as partners in our leadership endeavors. According to Larson and Murtadha (2002), “social justice theorists in education argue that relationships between school leaders and the communities they serve must change if we are to improve educational opportunities and life chances of poor children and children of color” (p 148). While it is beyond the scope of this chapter to describe all of the components for leadership preparation that can enact a paradigm shift about leadership and family engagement, we do offer some approaches that may help new leaders effect a more inclusive, culturally responsive and engaging approach to connecting with families.

Expanding the Knowledge Base

As stated by Riehl, “there is a body of research, which more thoroughly explores what school administrators can do to promote schooling that is fully inclusive and serves diverse students well” (2002, p. 58). Thus, aspiring leaders must engage with new content to gain insights into how to work with families, communities, and diverse populations. Aspiring leaders need opportunities to build understanding about issues families face such as poverty, culture, literacy, work, childcare, disability, and other challenges. More attention to federal, state, and local laws or policies that influence school and family interactions is also needed. How policies and procedures impact families (i.e. start and dismissal times, school schedules, discipline policies, school lunch, dress codes, etc.) and impede success for family engagement and partnerships represent another area of inquiry for aspiring school administrators. Higher education faculty may search for ways to integrate new topics and/or models for family inclusion and engagement into existing courses or create a stand-alone course required for administrative licensure. Embedded in such courses are ongoing opportunities for reflective and narrative writing through which students examine their own values and beliefs about families, diverse learners, poverty, inclusion, socio-economic class and the roles families and communities play in the schools. As students reflectively engage with new content and ideas, they begin to reframe the belief structures and perspectives that drive their professional practices as related to family engagement. Working in small groups to share their personal narratives and reflections, they create opportunities to learn from one another and to begin to construct the types of actions they could take as school leaders to create new forms of family and community interactions and partnerships.

Developing New Skills and Insights

Fundamental to this ongoing learning is professional training on curriculum development and how preparation programs support leaders who will acquire the capacity to work collaboratively with families to examine school curricula for meeting the needs of diverse students, special populations, and family or community values. Understanding the various family structures, economic situations, cultural backgrounds, as well as issues of race, ethnicity, disability, literacy, language, differentiation, teaming and community is important in terms of how these issues and topics are related to curriculum development. Through assignments that require ongoing dialogue with families and communities, aspiring leaders learn how to recognize problematic patterns, confront inequities, and create purposeful connections among family and community members and their schools. Within this process,

opportunities for aspiring administrators to critique the curriculums, pedagogy, assessments, teacher attitudes toward diverse learners and families, and how schools and families should interact takes on new importance and can lead to expanded interpretations about practices (Bogotch, 2002; Furman, 2002). The need to bring together constituents from multiple contexts—families, schools, communities—to examine critical instructional and curricular matters in the schools is critical to building a shared vision and comprehensive plan for meeting the needs of diverse learners and families.

Moving Into Action

According to Lyman and Villani, (2002), it is important for students of leadership to study the “social fabric within which the school lives” (p. 256). Thus, case study and action research drawn from the communities they serve represents additional important strategies to provide future leaders with opportunities to confront the complexities of potentially controversial and confusing beliefs about family and community involvement in schools (p. 256). In recognizing the importance of community to leadership development, such learning experiences ought to be community centered and provide for ongoing inquiry and dialogue among aspiring school leaders and their communities. Such projects can promote new forms of family and community collaboration that foster new school cultures that embrace and support family involvement. Through these projects, new leaders begin to better understand the “embeddedness of schools, both within the neighborhoods and communities in which they are located and within the networks or organizations and institutions through which students move” (Riehl, p. 65). They also come to appreciate the assets and positive resources offered by families and communities that support students and educators in the schools (p. 66).

MAKING REAL-LIFE CONNECTIONS WITH FAMILIES AND COMMUNITIES

Academic course work, case study, inquiry, action research based learning experiences are important; however, a recent study in which aspiring principals participated in family internships suggested that more intensive internships that are family and or community-based helped to “make real life connections with families with diverse needs” (Alonzo, Bushey, Gardner, Hasazi Johnstone, & Miller, 2006). In one study, students participating in the internships spent 25 hours in one family's home over a week's period. Each of the families who hosted an intern had at least one child with a disability, and many had children from diverse cultural backgrounds. The families were also diverse with respect to their composition, with some having a single head of household and others having two same sex parents. During internships, students engaged with parents and their children in the daily activities of the family. The interns reported a variety of benefits associated with the internship, including opportunities for both the interns and family members to learn about one another and to grow in their understanding of each other's worlds. They described the “humanizing effect” of gaining “an insider perspective” regarding what it means to have a child from a diverse background in terms of ability, socioeconomic status, and/or cultural background (Alonzo et al., p. 135). A parent offered her perspective on the need to provide similar experiences for future principals, noting:

We need to prepare educational leaders for their role of leading not only formal education, but also to be responsible for initiating open dialogue with families.

Leaders need to set a tone of inclusion not just for the child in the system, but the family as well. Future leaders should be guided in how to recognize the individuality of these families, yet at the same time, their desires to live a typical life like anyone else...Ultimately, this process will teach leaders to empower families, resulting in the most successful education of the children (Alonzo et al., pp 134-135).

Involvement in more diverse community-based and family contexts, new leaders experience some of the formidable challenges that children and their families face. Other environments such as homeless shelters, migrant-worker camps, social service agencies, and correctional facilities—allow future leaders to examine the identities of diverse students and families and to sustain a respect and sensitivity for the challenges and resources students and families bring to the schools. We also believe that such intensive field experiences with a greater focus on students and the issues that face them and their families may help aspiring school leaders develop both the communication skills to enhance school-family-community interactions, but will also become more aware of the multitude of resources available for student and family support. In the words of Pounder and colleagues (2002), “well-integrated educational and support services to children and families have much greater promise for effective problem solving and intervention than uncoordinated efforts” (p. 279). Intensive and diverse internships give new leaders the opportunity to engage in a long-term project to test out ideas and practices that have the potential to bring about a “change to an educational or social practice in a school” (p. 283) related to family and community engagement. Thus, leaders begin to value their own influence and to plan meaningful actions they might take to change the “paradigm” of family and community engagement.

CONCLUSION

The purpose of this chapter was to bring new understanding about how principals and other school leaders can enact a paradigm shift away from traditional approaches to parent involvement toward an inclusive, culturally responsive and engaging approach to connecting with families and communities. The new vision replaces the focus on parents with a focus on families, recognizes the role of diversity in school and family interactions, and views the resulting partnerships among families and schools as mutual, culturally defined, and located in communities as well as in the school. New roles and skills for school leaders are paramount to achieving purposeful and meaningful partnerships with families that support learning for all students. One great challenge for school leaders is to adopt the new “paradigm” for family engagement that is grounded in the context of a social-justice framework. A second challenge is how administrator preparation programs can bring about the kinds of changes that will help leaders understand issues facing diverse learners and their families and the value of new forms of school and family engagement. Through exposure to and experiences with families, human- service agencies, and other community-based institutions, future education leaders will gain increased knowledge, skills, and commitments to make schools more friendly and purposeful for students and their families. Positive and sustained connections with families are a necessary and important component of leadership development programs.

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TECHNOLOGY FOR PREPARATION PROGRAMS

CHAPTER 4

PHASE CHANGE MATERIALS

The Role of Educational Technology in Educational Leadership Programs

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INTRODUCTION

Technologies are just another expense until they're deployed by those who have the vision to recognize great ideas and the skill to implement them successfully (Prewitt, 2002). Mehlinger and Powers (2002) indicated, "It is no longer possible for administrators to be both naïve about technology and be good school leaders" (p. 218). Administrators cannot delegate responsibility for technology based decisions to subordinates without sacrificing most of their vision for implementation (Fowler, 1991 & Gibson, 2001).

For this chapter, the authors first present a research basis that indicates a gap in the diffusion of information technology as an innovation within administrative practice. Secondly, a proposal is put forth that this problem may in part be solved by the inclusion of at least one course on educational technology for administration in every administration program. Ultimately, an outline of course focus areas and materials is recommended.

CONCEPTUAL FRAMEWORK

Rodgers (1963) defined diffusion as the process by which an innovation was passed through channels over time among members of a social system. School leaders should inspire a shared vision among all stakeholders for the diffusion of technology throughout the instructional and administrative elements of the educational unit. They should also ensure the effective allocation of the financial and human resources necessary to complete and sustain implementation of the vision (Creighton, 2003). Over the past several years, the principal author had noted trends in studies which indicated a possible difference in diffusion of innovation of technology use between administrative and teaching practice (Hancock, 2008).

In essence, the focus of educational technology preparation programs has long been on instructional technology and teacher education rather than technology for administrative use (Brooks-Young, 2002). Equal attention has not been given to the development of pre-service and in-service administration programs, as many colleges and schools of education have not been attempting to meet the new technology challenges of administration for the information age (McLeod, Hughes, Richardson, Dikkers, Becker, Quinn, Logan, & Mayrose, 2005). Thus a new digital divide is revealed—one between the technology skills of administrators and teachers. By establishing the potential negative impact of not meeting these challenges, and by providing for a potential systemic remedy of the problem through the incorporation of a least one course on educational technology into administrative leadership programs, strong steps could be taken toward bridging the new digital divide.

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REVIEW OF LITERATURE

A lack of confidence in administrators' opinions of their ability to adopt technology into administrative practice successfully is suggested in the literature (Hancock, 2008; LoTi, 2003). For example, the administrator's version of the Levels of Technology Implementation Questionnaire (LoTi) was taken by 267 individuals in New Hampshire. The resulting levels range from Awareness (level 1) to Refinement (level 6). The predominate LoTi level for administrators was considerably lower than for the teachers who were surveyed (LoTi, 2003).

In another survey given throughout the 2007-2008 academic year (n=125) in five southern states using a stratified random sample of 25 administrators per state, practicing administrators were asked several questions relating to their knowledge and use of technology (Hancock, 2008). The survey was conducted via telephone and face-to-face interviews. In response to the survey (2008), 97% of administrators were not able to name a state or national technology standard for administrators; 88% of administrators had not attended technology training in the last three years; 93% had not received any technology training as part of their administrator preparation program; 64% did not feel competent in making decisions regarding the evaluation, purchase and implementation of different technology products and services for their environment; and 98% felt that their primary professional organization did not meet their technology training needs.

Similarly, a lack of confidence in professors' opinions of their ability to adopt technology successfully into administrative preparation programs is suggested through parallel research. The aforementioned study was repeated using a slightly modified survey with a sample of 90 current professors of education administration (Hancock, 2008). Survey data was collected at a national professional conference. Results indicated significant deficiencies in 1) technology exposure in administrative preparation programs, 2) professor confidence in their ability to successfully adopt technology, and 3) in-service training opportunities for the professors in the sample. In response to this survey (2008), 84% of the subjects were not able to name a state or national technology standard for professors; 78% had not attended technology training in the last three years; 74% had no technology training as part of administrator preparation program; 63% did not feel competent in their ability to train administrators to make decisions regarding the evaluation, purchase, and implementation of different technology products and services in their districts; and 70% reported that their primary professional organization did not meet their technology training needs. Additional research in this area is needed as indicated by the limited amount of data in the literature.

METHODS

The present study involved the application of two common measures of diffusion of information technology as an innovation to a random sample of 500 teachers and 100 administrators. The study employed the Concerns-Based Adoption Model Levels of Use (CBAM-LoU) (Hall, Loucks, Rutherford, & Newlove, 1975), and the Stages of Adoption of Technology (Christensen, 1997; Knezek & Christensen, 1999), based upon the work of Russell (1995).

The CBAM-LoU questionnaire (Christensen, 1997) describes behaviors of innovation associated with users during various stages - from orienting, to managing, and finally to integrating technology. The levels of use are: (0) Non-Use, (I) Orientation, (II) Preparation,

(III) Mechanical Use, (IVA) Routine, (IVB) Refinement, (V) Integration, and (VI) Renewal. Because the CBAM-LoU is a single item survey, internal consistency reliability measures cannot be calculated for data gathered through it. However, test-retest reliability estimates have been found generally to fall in the range of .84 to .87 for elementary and secondary school teachers (Knezek & Christensen, 1999).

The Stages of Adoption of Technology instrument is a single-item survey used to measure the level of technology adoption and highlight trends over time. It was derived from the work of Russell (1995) whose research involved assessing adults who were learning to use electronic mail. Russell's stages included: (1) awareness, (2) learning the process, (3) understanding the application of the process, (4) familiarity and confidence, (5) adaptation to other contexts, and (6) creative applications to new contexts. In the Stages of Adoption of Technology instrument (Christensen, 1997; Christensen & Knezek, 1999) the stage descriptions are generalized to make them appropriate for any information technology. As with the CBAM-LoU, the Stages of Adoption of Technology instrument is a single item survey, thus internal consistency reliability measures cannot be calculated for data gathered through it. However, high test-retest reliability estimates (.91–.96) have been obtained from validation studies on Stages of Adoption (Knezek & Christensen, 1999).

Participants were from a large southern school district. A text file of names from each of the two groups was loaded into a random sampling generator. An email was then sent to the participants selected with a link to the instrument battery. As a result, this battery was sent to 100 randomly selected principals and 500 randomly selected teachers. These numbers represented 65% of the total population of administrators within the district (100 out of 152) and 16% of the total population of teachers within the district (500 out of 3,000). Eighty three of the 100 principal surveys were completed for a response rate of 83% which represented 54% of the total population of administrators and 294 of the 500 were completed for a response rate of 59% which represented 9.8% of the total population of teachers for the district.

FINDINGS

The findings from this study indicate a significant difference in the level of technology adoption between teachers and administrators within the sample. Teachers outperformed administrators on both instruments with differences significant at the $>.01$ level for both measures along with medium to strong effect sizes.

The mean score for administrators on the Stages of Adoption Instrument was 4.37 versus a mean score for teachers of a 5.2 on the same instrument. Likewise, the mean score of administrators on the CBAM instrument was a 4.01 versus a mean score for teachers of a 4.59 on the same instrument. These differences are illustrated in Table 1:

Table 1. Mean Scores for Stages of Adoption and CBAM.

Instrument	Job Role	N	Mean	Std. Deviation	Std. Error Mean
Stages of Adoption	Administrators	83	4.37	1.454	.160
Stages of Adoption	Teachers	294	5.2	.974	.057
CBAM	Administrators	83	4.0181	1.33537	.14658
CBAM	Teachers	294	4.5952	.99200	.05785

When subjected to a t-test of independent means, a mean comparison of the administrator and teacher groups yielded differences between groups that were significant at the $p < .001$ level, with teachers receiving higher scores than administrators on both instruments. There was a significant effect for job role on the Stages of Adoption Instrument, $t(103.602) = -4.902$, $p < .001$, and a significant effect for job role on the Concerns Based Adoption Model Instrument, $t(108.802) = -3.663$, $p < .001$. As the Levene's Test for Equality of Variances was significant, $p < .001$, the variances for both comparisons were not homogeneous and the more robust Welch's t-test statistic in the equal variances not assumed row was used for both t-tests. These statistics are illustrated in Table 2:

Table 2. Significance of Mean Comparison.

		Levene's Test for Equality of Variances		t-test for Equality of Means						95% Confidence Interval of the Difference	
		F	Sig.	t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference		Lower	Upper
STAGES	Equal variances assumed	47.131	.000	-6.092	375	.000	-.83	.136		-1.099	-.563
	Equal variances not assumed			-4.902	103.602	.000	-.83	.169		-1.167	-.495
CBAM	Equal variances assumed	21.616	.000	-4.314	375	.000	-.5772	.13380		-.84026	-.31407
	Equal variances not assumed			-3.663	108.802	.000	-.5772	.15758		-.88949	-.26484

Cohen (1988) hesitantly defined effect sizes as "small, $d = .2$," "medium, $d = .5$," and "large, $d = .8$ ", stated that "there is a certain risk inherent in offering conventional operational definitions for those terms for use in power analysis in as diverse a field of inquiry as behavioral science" (p. 25). Using Cohen's system, this finding ($d=.54$) is of medium effect for the Stages of Adoption instrument and of medium effect ($d=.40$) for the CBAM-LOU instrument. Slavin (1990), an expert in educational evaluation considered effect size above 0.25 large enough to be educationally significant.

Perhaps the most useful and relevant interpretation of effect size for this sample is to examine the percent of nonoverlap of the administrators group's scores with those of the teacher group, see Cohen (1988, pp. 21-23) for more complete details on measures of nonoverlap. According to Cohen, an effect size of .05 (.54) indicates a nonoverlap of 33% in the two distributions for the Stages of Adoption Instrument and an effect size of .4 indicates a nonoverlap of 27.4% in the two distributions for the CBAM-LoU. instrument.

IMPLICATIONS

While limited in generalizability, this study does indicate a significant difference, $p < .001$, in technology adoption between administrators and teachers for this district. The teachers have a significantly higher level of technology adoption than administrators.

Findings from previous studies also indicate that diffusion of technology innovation is not as prevalent nationally in administration as administrators or professors of education administration would wish (Hancock, 2008). The focus of educational technology preparation programs has long been on teacher education and not administration. Equal attention must be paid to pre-service and in-service administration programs (Brooks-Young, 2002).

The data presented here indicates a difference in diffusion of innovation of technology in administrative practice versus teaching practice. It then follows, that it may be worthwhile to consider the role of an educational technology course or courses in a program of education administration.

COURSE STANDARDS

Any course in an education administration preparation program must necessarily be grounded in the relevant standards, which in this case are:

- ELCC—Educational Leadership Constituent Council
- ISLLC—Interstate School Leaders Licensure Consortium Standards for School Leaders
- NETS*A—National Educational Technology Standards for Administrators

These standards enable policy makers to move from just acknowledging the importance of an administrator's role in using technology to defining the specifics of what administrators need to know and be able to do to discharge their responsibility as leaders in the effective use of technology in schools (ISTE, 2001). An annotated crosswalk for the ELCC/ISLLC/NETS*A standards is available on the CONNEXIONS website <http://www.connexions.soe.vt.edu/> under the technology domain.

COURSE FOCUS AREAS

Even now, most people entering programs of education administration began teaching before the technological revolution got into full swing, so they often come into the program with a minimal knowledge of even fundamental productivity software such as Microsoft Office. This lack of knowledge compounds when, for example, basic understanding associated with spreadsheet software (i.e. Microsoft Excel) must be applied to the relatively complex tasks of managing a multi-tier budget across multiple worksheets. As technology has become mission critical, it has become necessary to compartmentalize its relevant areas and the NETS*A provides a suitable framework for accomplishing this task.

Leadership and Vision

One key area for a course in educational technology leadership is technology leadership and vision (NETS*A, I:A-F)(ISTE, 2001). In addressing this key area, candidates should participate in an inclusive district process through which stakeholders formulate a shared vision that clearly defines expectations for technology (NETS*A, I:A-C). Candidates should participate in the development of a collaborative, technology-rich school improvement plan that is grounded in research and aligned with the district strategic plan (NETS*A, I:A-C). The candidate should be able to evaluate the return on investment of a particular educational technology initiative in terms cost savings or mission advancement and understand processes of advocating for and seeking resources for successful programs (NETS*A, I:D,F). In assessing and/or setting research-based guidelines for campus technology resources (NETS*A, I:D,E), research guidelines for the purchase of hardware and software(NETS*A,

I:D,E), and managing the research-based design and implementation of a technology based learning environments (NETS*A, I:D,E).

Learning and Teaching

The second key area for a course in educational technology leadership is technology leadership for learning and teaching (NETS*A, II:A-E)(ISTE, 2001). Candidates should demonstrate the ability to assist teachers in using technology to access, analyze, and interpret student performance data, and guide teachers in the process of using these results to design, assess, and modify student instruction appropriately (NETS*A, II:A,C). The candidate should be able to work with instructional technology staff to collaboratively design, implement, support, and participate in professional development for all instructional staff that institutionalizes effective integration of technology for improved student learning (NETS*A, II:A-E). The candidate must also demonstrate competency in assessing and/or setting processes for selecting and managing distance learning systems and/or course management systems for instruction and training applications (NETS*A, II:B) as well as being able to generally merge instructional objectives with technology resources (NETS*A, II:C,D).

Productivity and Professional Practice

The third key area for a course in educational technology leadership is technology leadership in productivity and professional practice (NETS*A, III:A-F)(ISTE, 2001). Candidates should feel comfortable using productivity software in the administrative job role, modeling the routine, intentional, and effective use of technology. (NETS*A, III:A). Candidates should demonstrate proficiency with tools such as personal management software, word processors, spreadsheets, and databases such that in the absence of proprietary software the administrator can facilitate the development of personnel and student record systems, budgetary and inventory tracking, and time management scheduling (NETS*A, III:A-C, F). Candidates should understand social networking constructs well enough to oversee the virtual connection of campus administrators with their peers in other areas of the district, teachers, and parents. They should use social networking to foster collaboration with community members and other education stakeholders (NETS*A, III:C,E,F). In this construct, education-based information is disseminated through innovative web-based tools such as websites, courseware, blogs and wikis to maximize active involvement and real-time data access for all stakeholders. Administrators must be skilled at digital based decision-making (NETS*A, III:D). Thus, the ability to locate, synthesize, and evaluate data resources is a fundamental objective for candidates.

Support, Management and Operations

The fourth key area for a course is technology leadership in support, management and operations (NETS*A, IV:A-E)(ISTE, 2001). Candidates should demonstrate proficiency with a variety of proprietary systems that maintain electronic records to fulfill a variety of legal and/or procedural requirements (i.e. attendance history, health profiles, disciplinary incidents, grade evaluations, class schedules, and teacher evaluations) (NETS*A, IV:A-E). They should be able to manage compatibility issues regarding data transfer between those systems

(NETS*A, IV:A,B). Candidates need experience in creating and accessing data through mobile computing devices such as personal digital assistants (PDAs) (NETS*A, IV:A,B). Candidates must demonstrate the ability to develop campus technology budgets and allocate resources among teachers and staff to meet the goals of the technology plan (NETS*A, IV:C-E).

Assessment and Evaluation

The fifth key area for a course in educational technology leadership is technology leadership in assessment and evaluation (NETS*A, V: A-D) (ISTE, 2001). Candidates must promote and use technology to assess standards, instruction, instructional styles, learning, outcomes and outcome-trends to comprehensively evaluate and address teaching and learning (NETS*A, V: A-D). Candidates should use educational technologies to collect data; develop data mining techniques to assess, disseminate and evaluate trends, to promote and address quality professional development. (NETS*A, V: A-D).

Social, Legal, and Ethical Issues

A sixth area for a course is technology leadership in social, legal, and ethical issues (NETS*A, VI: A-E) (ISTE, 2001). Candidates should understand and address ethical conduct, social, privacy, security, equality, literacy, intellectual and etiquette aspects of technology. (NETS*A, VI: A-E). Candidates should promote responsible computing by securing, allocating and ensuring appropriate resources are assigned to responsible user groups (NETS*A, VI: A). Competency should also be demonstrated in addressing issues such as acceptable use, copyright law, and other pertinent cyber topics while maintaining a safe and equitable learning environment for users. (NETS*A, VI: A-E).

COURSE MATERIALS

While definitely not in abundance, several good resources are available for professors who wish to start a course on educational technology for administrators. They include Creighton's, *The Principal as Technology Leader*, and several practical books by Susan Brooks-Young including the foundational work on technology standards, *Making Technology Standards Work for You: A Guide for School Administrators*.

CONCLUSION

This chapter presented new survey findings which indicated that teachers are passing or have passed administrators in technology adoption for the population surveyed. Previous studies (Hancock, 2008) indicated that there is a self-observed lack of diffusion of innovation in technology in administrative practice and preparation programs. The chapter proposes that this problem can in part be solved by including at least one course on educational technology for administration in every administration program. The chapter outlines what might be focus areas and materials for that course. These might not fit the needs of every program, but they may serve as a starting point for program chairs and their faculties.

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Placing Human Interaction at the Center of a Distance Education Program in Educational Leadership

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INTRODUCTION

According to the National Center for Education Statistics (NCES) report (http://nces.ed.gov/programs/digest/d06/tables/dt06_219.asp?referrer=list), the University of Phoenix online campus more than doubled in size in two years (from 48,085 students in 2002 to 115,794 students in 2004). It is now twice as large as the second largest university (Miami Dade College) reported by NCES. A regular at the top of the list is Ohio State with 50,995 students. As students move to online courses and programs, a shift in resources occurs, along with a clash in faculty attitudes. Administrators worry about declining enrollments for on-campus programs, while faculty questions whether online instruction can be as effective as face-to-face instruction.

University of Cincinnati administration and faculty grappled with these worries and questions with the development and growth of their distance learning programs. The number of graduate students enrolled in the University of Cincinnati College of Education, Criminal Justice, and Human Services exploded from 876 in the fall of 2000 with no distance programs to 1,820 in the fall of 2005 with distance programs. This dramatic growth of 944 enrolled students in only 5 years included just three distance programs in this particular college: Criminal Justice, Educational Leadership, and Early Childhood Education. The effect on the departments, the college and the university, as well as on the number of students reached through these programs, cannot be ignored. A report by the Sloan Consortium (Allen & Seaman, 2006) found that 58 % of university Chief Academic Officers believe that online education is critical to the long-term strategy of their institutions, while 62% rated the learning outcomes in online education as the same or superior to those in face-to-face settings. The report also noted how attitudes have changed in significant ways since 2003. College administrators, professors and students now view distance learning in a much more positive light.

Friedman (2005) in *The World is Flat* proclaimed that “hierarchies are being challenged from below or transforming themselves from top-down structures into more horizontal and collaborative ones” (p. 45). Along this same line of thinking, large bureaucratic universities are being challenged by students who grew up with the internet and by new delivery programs that are based in distance programs or reach out with numerous regional branches. Friedman (2005) continued with the idea that globalization is “not just how organizations interact, but is

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about the emergence of completely new social, political, and business models” (p. 45). The university must be able to reorganize and reconnect with a world that has become smaller and flatter. Greater use of distance learning is one possible way to reconnect in a new world.

While there is a growing body of literature on distance learning courses, little has been written on the effectiveness of entire distance learning degree programs. Similarly missing are the comparison studies of distance learning degree programs with on-campus degree programs. While some people still want to argue whether entire programs should be taught in a distance-learning method, Kirk and Waltemeyer (2002) stated “the question has become not whether organizations will implement online training, but who will do it most effectively” (p.16). An additional question is how can one teach a “people-intensive” program, such as education leadership, through an online medium? Kowalski (2007) noted that faculty must join in the discussion, experiment with teaching online, and then determine the effectiveness. Faculty cannot criticize while standing on the sideline but must be involved in examining this new delivery method.

Arbaugh (2005) offered ideas for an optimal design for distance-learning courses and programs for the master’s in Business Administration. Arbaugh commented that distance learning can be as effective as on-campus (face-to-face) but that the learning environments should be thought of as different. Avolio and Kahai (2003) stated that “the focus on people is still as fundamental to leadership today as it was yesterday and will be tomorrow. However, leadership styles or behaviors may need to change, or simply will change, as they are displayed through electronic media” (p. 49). Arbaugh (2005) also stated that “an emerging stream of research suggests that instructor behaviors and experience are significant predictors of learning and satisfaction in Web-based courses (Arbaugh 2000, 2001, 2005; Jiang & Ting, 2000; McIsaac, Blocher, Mahes, & Vrasidas, 1998; Smith, Ferguson, & Carris, 2001; Swan, 2002; Swan, Shea, Fredericksen, Pickett, Pelz, & Maher, 2000)” (p. 136).

The authors of this paper examine and discuss how one program, a distance- learning master’s degree in Educational Leadership at the University of Cincinnati, has been able to include the human interaction (the “people piece”) needed for learning about leadership into the instruction and delivery of the courses in this program. We describe the structure of the program as well as examine the delivery model, the role of the instructor and the facilitators, and the interaction among the students, all necessary pieces to having a comprehensive leadership program.

While minimal research has been conducted on the effectiveness of complete online degree programs, there are studies on small cases and individual classes. The usual finding is that there is little or no difference in the effectiveness of the instruction, whether online or face-to-face. Neuhauser (2002) found no significant differences in test scores, assignments, participation grades, and final grades when comparing the same class the author taught in a distance environment and then taught on campus. Neuhauser felt there was effective learning in both instances, and little discernible difference. In fact, 95% of the distance students indicated their preference for the online class versus the face-to-face class and also responded that the online class could be more effective (32%) or as effective (64%) as the on-campus class. Aragon, Johnson, and Shaik (2002) found that regardless of learning style preference, “learners can be just as successful in the online environment as they can in the face-to-face environment” (p. 243).

STRUCTURE OF THE PROGRAM

The distance-learning master's degree in Educational Leadership consists of 54 quarter hours and mirrors the on-campus version of the degree/licensure program. The faculty is the same for both the on-campus and the distance courses; both programs are NCATE approved, and both align with ELCC and ISLLC standards, as well as the written and adopted Ohio Principal Standards.

The only differences between the on-campus program and the distance program are that there are no electives in the distance program (two electives in the on-campus program) and the on-campus has a unique induction program called the Administrator Development Academy. The Academy is 15 quarter hours and is a six-week, all-day summer experience. Both programs have an internship that is embedded in the schools, as the online program supervises and oversees that internship in cooperation with a field mentor in that school or district, not unlike the campus internship.

The delivery model consists of instructors/faculty who oversee the facilitators who work individually with students. For example, the program has instructors who teach approximately 250 students in each class, and they coordinate 15 facilitators who each work individually with 15–18 students within that class. A visual would be the professor teaching 250 students in a large hall, and then 2–3 times per week, the students are divided into small groups taught by a teaching assistant. The facilitator position is comparable to a teaching assistant. The facilitators complete the grading, most of the individual work and the advising of students.

The program uses the Blackboard framework to deliver the program online. Blackboard software allows instructors and the director to place instructional materials online, and for students to place work online to be examined.

Part of that framework is a “discussion board”, which allows for an asynchronous discussion on a topic between the students and the facilitator and instructor. It allows questions to be posted, comments placed and others can then read and respond within their own timeframe. This does not require all students to be online together at the same moment (synchronous discussion), but allows students the flexibility to respond when they are able and not at a specific time. The flexibility to choose their own times for learning is a key factor for students participating in distance programs.

Exit requirements include an electronic portfolio, and an exit interview, which takes place with two faculty members and the student over the telephone. These requirements along with successful completion of the coursework qualify the student for the Masters degree and meet state requirements for the license.

Instructors/Faculty Involvement

The willingness of faculty to accept and embrace distance teaching is also key to the program's success. On campus, students experience that if the professor is engaged in his/her message, the instruction is delivered with more passion and clarity. Students quickly identify an instructor who does not care about the students or does not know the content. This is true of distance learning as well. However, many current obstacles prevent some faculty from becoming completely engaged. According to Davis (2005), “From a faculty viewpoint, resistance to e-learning will continue until changes are made in the way workload and compensation and intellectual property are dealt with, and intangible rewards such as personal satisfaction and a sense of community are felt” (p. 74). Kowalski (2007) stated:

The ultimate effect of distance education depends on professors, including those who do not teach online. If they elect to remain on the high ground where they can complain and criticize without getting their feet wet, then the continuing spiral described previously seems inevitable. If instead, they bravely wade into the murky water and engage university administrators and colleagues in meaningful discourse, they demonstrate that rigor and relevance are no less important and no less possible for this medium than they are for face-to-face classes (p. 30).

In our program, the instructors are all faculty who teach the same courses on campus as they do online. Online courses in this program are considered supplemental, and are not part of the normal, paid teaching load of a university faculty member. The NCATE-approved program mirrors the on-campus program. Therefore, the corresponding NCATE standards, course content and objectives have already been developed for the on-campus program. Development of the online courses necessitates making the existing content fit the online format by time-compressing syllabi and encompassing human interaction in the online delivery.

The design for the class to insure the human interaction must come from the instructor of the course. The faculty member should encourage and expect interaction through cohort discussions (asynchronous) and assignments that create the need for interaction within their school building and school district. Assignments that require interviewing, shadowing, leading teacher teams, and asking questions of fellow educators provide networking opportunities and school district connections important to the growth and development of the person as a school leader. They also create an awareness of the student's interest in becoming one of the district's principals and leaders, an important aspect of finding a job after the degree. A recent program graduate, in his electronic portfolio "final reflection," stated:

One of the biggest plusses of the Educational Leadership Program was the interview requirement. As a general rule, a regular teacher does not get to interview the principal, superintendent, and treasurer on a regular basis. Some of the most eye-opening moments over the past two years have come from the interviews with these personnel.

Students have also informed the faculty, through exit interviews, that they appreciated video clips that feature the instructor. They want to put a face on the instruction and direction they receive. It seems to add a human piece to this puzzle.

Faculty and instructors must also rely on the facilitators' knowledge of their students and of the program goals. Since facilitators have all been successful graduates of the University of Cincinnati Educational Leadership program, they know the program intimately; maybe more so than a faculty member, since they have experienced both sides and the middle of this instruction. The best changes to the delivery in coursework have come from suggestions made by the facilitators, who interact between the instructor and the student. The faculty member and facilitator must become a "team of instructors" and the faculty member must learn to rely on the facilitator. Facilitators know the students better than the faculty member.

Facilitators

Each of the four components of the online program—structure, professors, facilitators, and students—serves an important function. The structure was designed to facilitate relationships while infusing the content, the skills and the development of reflective practice that students—as future school leaders—will need for success. Professors design the courses in such a way that the program maintains the philosophy of the on-campus program, ensures that the content is applicable to students from many different states (and countries), and designs assignments that are meaningful and facilitate growth. Facilitators help to ensure that the foundations of the program remain intact, that personal relationships are built with each student and among students in the cohort, and maintain lines of regular and supportive communication. The facilitators make the program personal to each student.

Facilitators serve as a bridge between the professors and the students. With over 250 students taking a class at one time, a professor could not possibly provide timely feedback, build relationships, and adequately support all the students at once. The professors design the courses, create assignments and learning experiences, set expectations for student achievement and provide guidance for the facilitators. The facilitators guide the experience for the students—facilitating weekly online discussions, grading papers, and providing regular and timely feedback and communication. Facilitators meet each quarter to collaborate, discuss strategies and practices, and receive clarification and guidance from the professors and the program director.

Facilitators guide the students through the process, the courses, and the content. A student's facilitator is his/her first line of communication. During the two-year program, a facilitator and the student members of the cohort develop a level of familiarity that would not otherwise be possible. Students feel comfortable explaining challenges and asking their facilitator questions, and facilitators gain an understanding of the strengths and areas of growth for each student. The facilitator knows the professional backgrounds, personal situations, and geographical locations of his/her students.

Each facilitator in the University of Cincinnati's Educational Leadership Distance Learning Program is a graduate of the parallel on-campus program. Not only does this allow for a two-year interview process, of sorts, it also serves many other purposes. Facilitators have knowledge of content covered in each class; they can maintain the philosophy and foundations of the program; and they can maintain a relationship with each professor. While most facilitators are currently school administrators, all mentors for the internship are administrators, so the experience and wisdom of a practitioner are available for the student in one manner or the other.

Facilitators are provided with all materials and resources required for each course—books, software, articles, manuals, etc. The facilitators have taken each course in the program and have built a foundation of knowledge and experience in the course content. With these resources, the facilitator's role is comparable to that of a teaching assistant in traditional on-campus programs. Most courses incorporate weekly online discussions over material covered in reading assignments. Facilitators set expectations for discussion participation, guide the conversation, and assign grades for student involvement. Students are encouraged and expected to share insights and explore ideas. Facilitators ensure that discussion is reflective and comprehensive by constructing dialogue in such a way to facilitate the cohort in building knowledge together. One great benefit of online discussion over in-class discussion is that students are forced to put into words their own learning and understandings, which nurtures reflective practice—another foundation of both the online and on-campus programs.

In the early stages of the program, facilitators recognized the need for a forum where students could openly communicate with each other as they would in an on-campus program. This would allow students to rely more on each other, collaborate, and build stronger relationships through social dialogue. This was occurring naturally in the content-driven discussion boards. Facilitators understood the need for students to connect in this way—strengthening the bond of community—however, it was also distracting and turning the focus away from the content of the course. To solve this situation, an online discussion thread for “off topic” discussions was created; participation is neither required nor graded.

Facilitators are responsible for offering timely feedback—answering questions through email in no more than 48 hours, grading assignments, and clarifying expectations and procedures. Familiarity with course content is necessary to be effective in these areas. Facilitators can answer questions that students may have regarding the courses, content and assignments. However, when a question requires a greater depth of knowledge, or approval to deviate from set course expectations or requirements, the facilitator serves as a conduit of information from the professor to the students, and back.

The University of Cincinnati faculty is dedicated to developing and nurturing effective, powerful leaders for our schools “to generate and test knowledge that directs the profession to excellence; and to lead the profession to improved practice” (University of Cincinnati, 2006). Facilitators help to ensure that these ideals and philosophies course through the veins of the online program. This serves to keep the online and on-campus programs parallel—preventing the programs from diverging in philosophy, practice and purpose.

Another benefit of employing facilitators who have graduated from the on-campus education leadership program is their familiarity with the professors who teach in both the online and on-campus programs. Facilitators know the professors and their expectations, they quickly learn the students’ ability levels and practices, and they build the bridge between the two.

Students

Students in the program develop leadership skills at an individual pace. The six-week course rotation drives the pace, but students’ engagement determines the level of learning encountered in each class. Most students are working as teachers and meeting the obligation of providing quality instruction for their own students. Many of our students coach two or three sports and the program design allows them to continue coaching while completing coursework. Many teachers have young families at home, and need to parent and to be home after school. Several students currently hold administrative positions with temporary licensure and need to complete the program to become fully qualified or to retain their current employment status.

The typical student is anything but typical. We have met the diverse needs of soldiers serving in combat overseas and stay-at-home moms. Currently we have students living in six countries and 33 states. Due to the fluid nature of the program with graduation and quarterly enrollment it is difficult to say exactly where all of our students live. Students have enrolled and graduated from Japan, Bermuda, Alaska, and Germany, literally the corners of the globe. Issues for students so far away include timely acquisition of the texts, time differences – their assignments are often due in the middle of the night -- and finding an American licensed principal to serve as a mentor.

We had one student disappear for several weeks. Her father was undergoing cancer treatment in New Orleans when Hurricane Katrina moved ashore. She and extended family

members (23 people) made the pilgrimage to her sister's house in Houston, Texas. She kept up with the readings and writing assignments via the syllabus but connection to the internet was impossible. Communicating via telephone with her facilitator, she maintained good standing in the program. She ultimately graduated with her cohort.

Cohort Model

The instructor must intentionally build into the course a method of cohort building, be it discussion boards, a "student lounge," or group assignments. An instructor cannot assume that the group will bond or build positive relationships. Relationships must be developed with a purpose in a distance program as they are in a face-to-face classroom or program.

Discussion board interactions during the year of planned field experience help students report progress and maintain forward movement. Some students share frustrations and successes, eliminating the isolation that could develop when facing such an extended assignment. The final month of the planned field experience involves sharing project results with the mentor, project participants, and fellow cohort members. Cohort members provide feedback from an objective point of view. The entire cohort has been together for nearly two years at this point and they know each other well enough to be honest and ask probing questions.

A student, reflecting on the use of the discussion boards, indicated the cohesiveness of the cohort that develops despite never having been in a face-to-face situation:

One of the unique factors of the distance-learning program is the use of discussion groups. At times tedious and other times rewarding, these discussion groups brought the human element into the courses we had enrolled in. Though we may have never met one another, we know all about each others' schools, jobs, views, and often personal lives.For what we lack in in-person interactions, we make up for in the discussion groups by sharing a bit of ourselves.

Students have used the general discussion boards to post pictures of themselves, children, and other personal items. Whenever there is an addition to their families, they frequently post details and photos. It seems as though they are constantly looking for ways to "humanize" their relationships, although only about half of the students participate in these optional activities. The others seem to be "all business."

Graduation is when many students meet other members of their cohort for the first and only time. Not all graduates attend but the experience for those who do is somewhat overwhelming. Graduates have come from as far away as California to walk in the University of Cincinnati graduation ceremony. One student had never been on campus until graduation day. Cohorts have planned to meet the day of graduation or the night before for dinner and to see the faces that have been the other members of their group for two years. The relationship continues for some as they maintain email communication with other cohort members.

CONCLUSION

The world is changing. Leadership and leadership development must change with it. The candidates for leadership positions may even be at advantage in this new internet-savvy world, if they have been part of a distance degree program. Spreitzer (2003) stated:

In order for leaders to truly understand the implications of leading in a virtual environment, it is imperative for them to be able to put themselves in the shoes of their virtual employees to better understand the isolation and potential for misunderstanding that are characteristic of a virtual context. The best teacher in life is experience. So it is important for organizations to develop leaders by giving them virtual assignments, ideally as a member of a virtual team (p. 79).

A school leader must be able to communicate in many mediums: orally, written, visually, and now through electronic messages. A relevant experience in this electronic medium, along with other face-to-face skills, can give a school leader the tools for success.

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CRITICAL THEORY AND LEADERSHIP PRACTICES

CHAPTER 4

PHASE CHANGE MATERIALS

In the Spirit of Our Nation's Children: A Study on National Diversity Leadership Standards and Superintendents

Christa Boske

ABSTRACT

The researcher undertook an investigation of school superintendents across the nation to determine how they prioritized diversity elements within national leadership standards. To achieve this objective, 1,087 superintendents, who were members of the American Association of School Administrators (AASA) in 2006, completed an electronic survey. Respondents rank ordered eight leadership standards from most to least important. These standards focused specifically on diversity elements from the AASA, the National Council for Accreditation of Teacher Education (NCATE) and the Interstate School Leaders Licensure Consortium (ISLCC). Respondents ranked the three most important diversity elements that promoted the success of all children. Respondents ranked the remaining diversity elements that focused specifically on marginalized populations as less important. The least important diversity element was being aware of language and communication styles of marginalized cultures that facilitate and implement a vision for learning and shaping school culture. The quantitative analyses included descriptive statistics, comparison of means, and one-way analysis of variance (ANOVA). There were significant differences within and among groups according to gender, race, age, class, geographic location, religion, and type of district. Recommendations for practice and further research are made.

INTRODUCTION

Public school leaders in the United States are in challenging positions to provide every child with a world-class education. The school superintendency is no exception. Today, superintendents fulfill a multitude of responsibilities that proffer geographical and demographically different school districts, which align with their professional rigorous standards that catalogue the expectancies of aspiring superintendents. These expectancies emanate a need for cultural knowledge, skills, and dispositions that meet high academic standards for increasingly diverse groups including, students, parents, and communities. Given the new demands of school superintendents, we need to understand the evolution of the superintendency and its intensified requirement to meet the needs of diverse student populations, holding schools responsible for data-driven instructional improvement for *all* children.

Historian Raymond Callahan (1962, 1964) examined superintendents in 1956 and discovered that superintendents' roles were reinvented as corporate managers. Four major roles emerged for superintendents from 1865 to 1910, including superintendents as classroom teacher supervisors (Spring, 1990). The shift from superintendents being the teacher of all teachers to the superintendent as manager occurred almost three decades later. The superintendent as manager produces what Schneider (1994) described as a control core

culture, including an authoritative, bureaucratic, business mindset of values and beliefs. As superintendents moved from manager to statesman, which increased the power of superintendents and lessened local community control (Kowalski, 1999). The fourth phase of the human relations movement brought to light new perspectives on organizational behavior (Hanson, 2003; Hoy & Miskel, 2005), another shift in roles occurred for superintendents. Role shifting, according to Callahan, encouraged superintendents to be social scientists. During this time, school leadership preparation programs renewed their purpose of providing aspiring superintendents with “a greater sensitivity to large social problems through an interdisciplinary approach involving most of the social sciences” (Kellogg Foundation, 1961, p. 13). Callahan (1964) warned that superintendents might not be equipped to see or understand where they were going with their role as social scientists.

In the early 1990s, scholars studying reform efforts (Henkin, 1993; Murphy, 1991, 1994) concluded that superintendents must function as primary change agents for their school communities. Making and sustaining local reform efforts as primary change agents emphasized the importance of superintendents understanding and serving the diverse community and institutional cultures they served. However, creating and sustaining change are risky moves for superintendents. Many superintendents do not have an in-depth understanding of organizational change (Sarason, 1996); and most have not experienced leading school communities as primary change agents (Murphy, 1994).

Impetus to the shift in superintendents playing the role of primary change agents is the increasing numbers of diverse student populations throughout schools in the United States. Over the past 40 years, scholars continued to investigate potential consequences for increasing diverse populations in schools (Grady, Foley, & Barnes, 2004; Hrabowski, 2004; Rothman, 2004; Stedman, 1993), including academic disparities for racial minority groups, non-English speaking students, and children living in poverty (National Center for Education Statistics, or NCES, 2005; Education Commission of the States, 2005). Schools will encounter four demographic changes including: (a) growing numbers of racial minorities, (b) children living in poverty, (c) female-headed families, and (d) children for whom English is a second language (NCES, 2005; National Center for Children in Poverty, 2005; U.S. Census Bureau, 2005; Vernez & Kropp, 1999). With poverty being most prevalent among Black and Latino/a children, schools serving children living under these conditions will be directly impacted by the consequences associated with living in such conditions (homelessness, priorities focusing on survival, change in student residency, and limited resources) (National Center for Children in Poverty, 2005).

With these demographic changes in mind, superintendents who lead schools in the 21st century will also experience changes in their role to serve increasingly diverse schools (Kowalski, 2003; Young & Creighton, 2002), as well as renew visions for preparation programs that will build on rigorous standards that systematize the expected competencies of aspiring leaders (Grogen & Andrews, 2002). As superintendents come to understand their emerging role as the primary voice of the school community, they will be held responsible for promoting the values of a democratic society (Bjork & Kowalski, 2005). Developing a deep democracy within schools and enhancing educational outcomes includes implementing effective instruction and student achievement for all students, keeping in mind the increasing numbers of children attending schools from diverse backgrounds (children living in poverty, speaking languages other than English, and racial minorities groups). The heightened awareness of meeting the needs of all children is in part due to federal mandates, such as No Child Left Behind (NCLB) (2002); and the Council of Chief State School Officers (1996) (CCSSO)’s intension to create a “common core of knowledge, dispositions, and performances

that will help link leadership more forcefully to productive schools and enhanced educational outcomes (CCSSO, 1996, p. iii). Intensifying the requirements for data-driven improvement for these changing student populations is illustrated within teacher accountability in NCLB and the development of leadership standards that emphasize the enhancement of educational outcomes for *all* children.

Much research regarding national standards and leadership focuses primarily on the principal, not the superintendent (Pitre & Smith, 2004). In the present study, the researcher undertook the investigation of school superintendents who were members of the AASA across the United States to determine the extent to which they prioritize intensified and rigorous national leadership standards, especially for children living in poverty, English Language Learners, and racial minority groups (Black, Latino/a, Asian, Native-American, biracial, and multiracial). The inquiry centered on a quantitative analysis of the national leadership standards (AASA, NCATE/Diversity Standard, and ISLLC). These data were analyzed for weighted mean, as well as comparing weighted means among superintendents according to personal heritage characteristics/personal background information. A central hypothesis for the study proffers that superintendents rank order the national leadership standards according to personal demographic characteristics (gender, race, class, language, age, school district type, religion, and geographic location).

LITERATURE REVIEW

Superintendents are in leadership positions that have the promise and potential to promote democratic ideals. Modeling school practice, creating policy, designing strategic plans, promoting professional development, and establishing community relations are significant to striving for deep democratic practices (Wilmore, 2002). To achieve a deep democracy within their school communities, they must learn how to respond intelligently to relatively unpredictable changes in a political climate; commit to using resources wisely; and understand the relationship between social environments and education policies in order to conceptualize broad directions that benefit the betterment of the school community (Fowler, 2000).

The evolution of national leadership standards redefines the role of superintendents through professional effectiveness, demanding and forging new and brave journeys (Harris & Kendall, 1990). In 1994, ten national educational leadership associations that make up the National Policy Board for Educational Administration (NPBEA) and 24 state departments of education worked collaboratively for the enhancement of educational outcomes through the creation of knowledge bases, performance standards, and professional dispositions for school leaders. The result was a publication by the CCSSO (1996) entitled, *Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders*. The ISLLC standards represent best practice for K-12 school leaders at both the state and national levels, defining the responsibilities of effective school leadership for 21st century schools (Murphy, 2002, 2005; Shipman, Topps, & Murphy, 1998). Standard four requests that “an educational leader collaborate with families and community members, responding to diverse community interests and needs, and mobilizing community resources”; and standard six emphasizes that “an educational leader understand, respond, and influence larger political, social, economic, legal, and cultural contexts” (CCSSO, 1996).

In addition to the NPBEA’s initiative, the AASA (1993) also created leadership standards that address the significance of meeting the needs of diverse student populations. Standard one emphasizes the need for superintendents to “demonstrate executive leadership that

empowers others through multicultural and ethnic understanding”; and in Standard six, “To integrate curriculum for multicultural sensitivity and assessment” (Carter & Cunningham, 1997, p. 18). As diverse student populations move into formerly predominantly White middle-class school districts (Hodgkinson, 2007), superintendents are being challenged to rethink their assumptions about children who do not share the same characteristics as previous constituency. Their limited experiences to diverse student populations and experience as primary change agents might include blind spots with real consequences for marginalized children (children living in poverty, English Language Learners, and racial minorities).

The NPBEA played a significant role in the development and implementation of standards for national accreditation of administrator preparation programs across the country (Green, 2005). Accrediting bodies, such as NCATE, and academic bodies, such as the National Council of Professors of Educational Administration (NCPEA) also provide ongoing interest in the improvement of student outcomes. NCATE adopted Smith’s (1998) cultural knowledge base framework specifically for Standard 4, which focused on diversity. Smith’s framework is anchored in the belief that school leaders fall somewhere on a continuum with one extreme being *genericists* and the other being *multiculturalists/reconstructionists* (p. 18). Genericists are individuals who believe that established knowledge and skills expected by middle-class families are applicable to diverse populations. On the other hand, multiculturalists/reconstructionists argue that it takes special expertise and skills to work effectively with individuals from diverse backgrounds (p. 18). Although genericists may have good intentions, some scholars contend that genericists tend to see the world through a single cultural lens, treating all children alike (Howard, 2001; Smith, 1998).

National leadership standards (ISLCC, AASA, and NCATE) emphasize the significance of improving the schooling experiences of diverse school communities. The nation’s increase in diverse student populations raises concerns, especially considering how cognitive and non-cognitive expectations bear negative educational consequences for minority populations (Banks, 2004). Negative consequences for minority populations include inequitable resources, escalating student failure, an alienated school climate, and declining expectations along with negative teacher attitudes towards students. Conventional actions, such as those just mentioned, often reproduce and legitimize negative consequences for children who are living in poverty, English Language Learners, and racial minorities (Kozol, 2006; Marshall & Oliva, 2006). With this in mind, superintendents are in positions to promote racial interactions, transmit racial knowledge, and affirm/challenge racial attitudes and meaning (Lewis, 2001). Kowalski (2003) concludes that superintendents in the 21st century should be visionary transformational leaders who rebuild organizations by assisting communities to address contemporary realities. These new responsibilities portray the superintendent in a new light as they work collaboratively with schools (Hoyle, Bjork, Collier, & Glass, 2005). With these standards and new responsibilities in mind, superintendents have the potential to perpetuate implicit and explicit culturally sensitive school practices throughout their communities.

New roles and responsibilities for superintendents include the need to engage in long-term planning and to develop effective strategies to build learning communities that meet the needs of our nation’s changing populations (Hoyle, English, & Steffy, 1998; Murphy & Hallinger, 1986). However, the increase in diverse student populations does not reflect demographic changes in those who serve as school leaders, with over 90 percent of school leaders identified as White (National Collaborative on Diversity in the Teaching Force, 2004; Hodgkinson, 2007; Gomez, 1996; Feistritzer, 1985). This imbalance amounts to a structural condition that requires new understanding with a focus on cultural competence of school leaders responsible for improving the performance of Black, Latino, and impoverished

children (Hill, 2005; National Collaborative on Diversity in the Teaching Force, 2004). Implicit and explicit school practices influence schools' interactions and communication styles, creating assumptions which can serve as unintentional barriers to the education of minorities, children living in poverty, and English Language Learners (Banks, 2004). Since the majority of superintendents are both White and middle-class, they hold positions of greater power and privilege, which serve as a way to maintain superior resources to maintain themselves (Persell, 1977). For example, the majority of White students are educated in predominantly White institutions, influencing preferences for socially appropriate behaviors (Asante, 1991; Diaz, 2001). These social preferences include the presentation of Eurocentric history perspectives, integrating rote learning strategies, tracking student performance, and implementing rigid behavior modification techniques (Darling-Hammond, 1997; Kohn, 1994). School practices such as these are powerful influences that direct school leaders' decision-making practices (Marshall & Oliva, 2006; Firestone & Riehl, 2005).

National leadership standards provide a context in which to understand their roles and responsibilities. Superintendents are encouraged to promote a worthy vision clearly initiating the development of strategic plans that assess the meaning of social attributes and the impact on student achievement to determine whether or not the goals of the strategic plan are being worked toward and met (Hoyle, English & Steffy, 1998). Superintendents are in key positions to address intercultural issues facing marginalized populations through the creation of policies that meet the needs of increasing marginalized populations (Wilmore, 2002). These policies translate into decisions that influence school-wide pedagogical practices and student outcomes with superintendents responsible for developing goals, directing the organization, selecting the staff, and establishing and monitoring district-wide instructional and curricular focus (Murphy & Hallinger, 1986). Because the majority of the nation's superintendents are White middle-class males, their hiring practices might express limited multicultural commitments. In turn, this may influence who is hired and who is not hired; might influence which values are shared with the new hire; and might create a misalignment between expressed district values and functional behaviors. These practices suggest that personal identity influences how school leaders understand how the intersections of race, class, and gender, interact with policy reform, classroom practice, and student learning (Boykin, Tyler, & Miller, 2005; Ferguson, 2003; Leonard, 2002; Noguera, 2003).

National leadership standards provide a guide for superintendents as they make decisions regarding the hiring of personnel, assisting organizations to work collaboratively, and enhancing student achievement. These are difficult tasks if equity is not visible within the school system. While integrating diversity issues within administrator evaluations and/or district expectations might be important, Darling-Hammond (2004) concluded that in light of NCLB, simply providing a guide to promote diversity issues is not enough to eliminate disparities among diverse student populations. Superintendents from primarily White middle-class communities note that diversity is not relevant to their communities because of the high majority of White students in their districts. These respondents perceive race as the major component of emphasizing diversity. Harris and Kendall (1990) concluded that "unless the superintendent attends to the well-being of equality and excellence, the crisis will worsen, and children will go on dying, literally" (p. 58). The key to achieving equity for all children is greatly dependent upon superintendents accepting and demonstrating its commitment through action (Anderson, 1990), and should proceed with deliberate speed (Harris & Kendall, 1990).

METHODOLOGY

The researcher's purpose of this study was to investigate how superintendents ranked order leadership standards from most to least important, focusing specifically on diversity elements from national leadership standards (AASA, NCATE, ISLLC). The overarching question that guided the study was: What did superintendents consider the most and least important diversity elements within the national leadership standards for action and decision-making? Respondents were also asked to estimate the percentage of racial minority children, children living in poverty, and English Language Learners (ELLs) within their school districts in five-year increments from 1995-2015 in order to determine the significance, if any, of student population changes in schools across the nation. Respondents were also asked to complete a Personal Heritage Survey based on Smith's (1998) Cultural Knowledge Base framework to determine whether or not, if any, difference in how respondents rank ordered diversity elements within the national leadership standards according to personal background information (gender, age, class, geographic location, school district type, religion, and race).

Participants

Superintendents nationwide (N=6700) were invited to participate. The sample (n = 1,087) is comprised of 15.52% of superintendents who were members of the AASA. Demographic data representing the sample are presented in Table 1.

Table 1. Respondents' Demographic Data (N = 1,087).

	Number of Respondents	Percent of Total
Gender		
Female	273	25.1%
Male	814	74.8%
Race		
Asian	3	.22%
Biracial	8	.76%
Black	18	1.63%
Hispanic	21	1.95%
Native American	6	.54%
Multiracial	3	.33%
White	1,022	94.04%
Other	6	.54%
Class		
Lower	169	15.54%
Middle	866	79.65%
Upper	52	4.81%

Instrumentation

This national leadership survey provided a framework for understanding the superintendent's perception of the most/least important diversity elements within the national leadership standards. Superintendents completed the self-designed survey to identify the most/least important diversity elements from eight summary statements representing the AASA, ISLLC, NCATE national leadership standards and Smith's (1998) 13 Knowledge

Bases. The diversity elements were ranked according to the superintendent's perceptions of importance from most important to least important. The survey was comprised of elements from each of the national accrediting or academic bodies focusing on school leadership, specifically the superintendency (ISLLC, NCATE, AASA standards, and Smith's (1998) 13 Knowledge Bases).

Design and Procedures

The researcher used an electronic anonymous cross-sectional survey design to elicit responses from superintendents to compare the superintendents in public school districts experiencing demographic changes in minority, children living in poverty, and English learner populations. The researcher sent a hyperlink of the electronic web-based survey via email to the AASA. All electronic anonymous surveys were emailed to the identified participants through AASA's email database. Participants completed the electronic consent form on the web-based survey site. Participants completed an 8-item instrument identifying the most/least important diversity elements within national leadership standards (AASA, NCATE, and ISLLC).

FINDINGS

Superintendents estimated the percentage of racial minority children, children living in poverty, and English Language Learners (ELLs) within their school districts in five-year increments from 1995-2015. Respondents predicted changes in the percentage of minority students attending public schools from 1995 through 2015. The predicted percentages indicate a 15% increase in minority student populations. The number of children living in poverty was predicted to increase by 10% from 1995 to 2015, with an estimated school district averaging 43% of students living in poverty. Superintendents predicted a 15% increase in the number of children who were identified as ELLs from 1995-2015. Respondents estimated statistically significant increases in the percentage of minority children, children living in poverty, and ELLs within their school districts in five-year increments from 1995-2015.

In this section, superintendents were asked to consider the most/least important diversity elements within the national leadership standards for action/decision-making. The diversity elements within the AASA, ISLLC, and NCATE national leadership standards are presented in Table 2. The survey contained eight items for the participants to rank order elements of diversity standards from most to least important (1-most important to 8-least important).

Respondents ranked the commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children as the most important elements within diversity standards. Respondents ranked the ability to consistently display the demand and need for every school district employee to provide all children with hope and the experiences of success as the second most important diversity standard. Respondents identified the third most important diversity standard as high visibility and availability to build and maintain strong ties between families, businesses, community members, and others who seek to promote the success of all children.

Table 2. Rank Order by Weighted Means of Elements of Diversity Standards.

Elements of Diversity Standards	Weighted Mean
1. Commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children.	1.85
2. Consistency in displaying the demand and need for every school district employee to provide all children with hope and the experiences of success.	2.67
3. High visibility and availability to build and maintain strong ties between families, businesses, community members, and others who seek to promote the success of all children.	3.98
4. Recognition and demonstration of pedagogical characteristics and approaches that establish equity.	5.01
5. Rejection of ideas that spell personal harm or violation of personal rights or civil law.	5.22
6. Awareness and willingness to face the tension, conflict and consequences that may arise due to differing cultures, folkways, and styles.	5.61
7. Ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence.	5.78
8. Awareness of language and communication styles of marginalized cultures that facilitate and implement a vision for learning and shaping school culture.	5.93

Note. (N= 1,087)

One way ANOVA analyses of weighted means were conducted between respondents as specific personal heritage characteristics (gender, age, type of school district, geographic location of school district, socio-economic status during childhood, and religion) (Table 3). The analyses indicated a significant difference ($p < .05$) between the weighted mean for women regarding the recognition and demonstration of pedagogical characteristics and approaches that establish equity than men. In regards to age, respondents over 55 years of age had a significantly lower weighted means for the commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children ($<.05$) than all of the other age groups (25-35, 36-45, and 46-55 years of age). Respondents who were elementary school superintendents had significantly lower weighted means for both the rejection of ideas that spell personal harm or violation of personal rights or civil law ($<.01$) and high visibility and availability to build and maintain strong ties between families, businesses, community members, and others who seek to promote the success of all children ($<.01$) than the other types of school districts (higher school, unified K-12 school districts and other).

One-way ANOVA analyses (Table 3) were also conducted for respondents who worked in urban school districts. Urban school respondents had significantly lower weighted means for the commitment to hire, supervise, and retain competent personnel who are dedicated to

promoting the success of all children ($<.05$) and the ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence ($<.01$) than respondents working in suburban and rural school districts. Respondents who identified themselves as Asian, Black, Native-American, Hispanic, Biracial, Multiracial or others' (racial minorities) weighted means were compared to that of White respondents. Respondents who self-identified as racial minorities had significantly lower weighted means for both the ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence ($<.05$) and the commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children ($<.05$) than their White counterparts. Respondents who self-identified as being homeless, living on welfare and/or identifying themselves as lower class throughout childhood were categorized as lower class. Respondents identified as lower class throughout their childhood had significantly lower weighted means for the ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence ($<.05$); awareness and willingness to face the tension, conflict and consequences that may arise due to differing cultures, folkways, and styles ($<.05$); and the recognition and demonstration of pedagogical characteristics and approaches that establish equity ($<.05$) than respondents from middle and upper class backgrounds. Respondents who identified as other than Christian had a weighted means that was significantly lower for the recognition and demonstration of pedagogical characteristics and approaches that establish equity ($<.05$).

A one-way ANOVA analysis was also run to examine whether or not superintendents with companions/spouses/significant others who were different than their race had different weighted means for the diversity elements within the national leadership standards. Only 5% of the total population identified themselves as having a companion/spouse/significant other in their lives identified as a different race. The standard focusing on the commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children was significant at .068, but due to the limited number of respondents who meet this criteria, this is something to consider for future analyses.

DISCUSSION

The purpose of this study was to investigate what superintendents considered the most/least important diversity elements within the national leadership standards and examine differences, if any, between respondents according to their personal heritage responses/personal background. In this study, superintendents projected similar increases in the number of children living in poverty, identified as racial minorities, and ELLs as national projections (NCES, 2005; U.S. Census Bureau, 2005). These projections confirm the urgency for future superintendents to acquire cultural knowledge, skills, and dispositions that will assist them in their roles as 21st century superintendents (Kowalski, 2003). New knowledge and skills are essential to understanding the complexities associated with culture (Lopez, 2003). With over 90 percent of respondents identified as White, male, middle/upper class, and rural/suburban, they might not perceive a need to think about diversity in their school districts. They in turn, might focus on local community concerns, overlooking how increasing demographic changes will influence public schools nationwide.

The respondents' personal heritage/personal background characteristics seemed to reflect the monocultural composition of the school districts they served. In this study, the issue of promoting diversity may be a moot point. Superintendents may be embedded within traditional bureaucratic school systems, with set norms and expectations that reflect White,

Table 3. Within-Subjects Contrasts by Sub-Categorization and Group.

<i>Category</i>	<i>Standard</i>	<i>MS Between Groups Within Group</i>	<i>F</i>	<i>Sig</i>
Gender	The recognition and demonstration of pedagogical characteristics and approaches that establish equity	13.670 3.316	4.122	.043
Age	Commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children	3.378 1.848	1.827	.003
Type of District	Rejection of ideas that spell personal harm or violation of personal rights or civil law	13.259 4.471	2.966	.031
	High visibility and availability to build and maintain strong ties between families, businesses, community members, and others who seek to promote the success of all children	23.259 3.403	6.921	.001
Geographic Location	Commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children	7.379 1.907	3.870	.021
	Ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence	55.441 4.517	12.275	.000
Race	Ability and willingness to reject any arguments of a one-to-one correlation between race and culture or race and intelligence	9.320 4.591	2.030	.049
	Commitment to hire, supervise, and retain competent personnel who are dedicated to promoting the success of all children	4.044 1.903	2.125	.039
Class	Rejection of ideas that spell personal harm or violation of personal rights or civil law	13.034 4.584	2.843	.023
	Awareness and willingness to face the tension, conflict and consequences that	7.836 2.888	2.713	.029

	may arise due to differing cultures, folkways, and styles			
	Recognition and demonstration of pedagogical characteristics and approaches that establish equity	8.867 3.330	2.663	.031
Religion				
	Recognition and demonstration of pedagogical characteristics and approaches that establish equity	17.006 3.339	5.093	.024

male, middle-class preferences. For this reason, superintendents may have limited exposure to diverse communities and/or unaware of the increasing complexities associated with diverse learning communities. The respondent's limited exposure to diverse communities might influence their perception of demographic changes. These changes can be perceived as negative challenges ahead. This perception could influence superintendents' priorities and decision-making despite the presence of increasing marginalized student populations. Based on the respondents' and demographers' projections for increasing marginalized populations, a new cultural norm might emerge within the United States. Latino and Black populations are predicted to become the new racial majority by 2050 (Vernez & Kropp, 1999). This demographic shift will create diverse school communities and Whites will become racial minorities. Whites might sense the urgency to become more empathic toward social and political issues associated with minority status as minority populations increase. Unconscious attitudes toward diversity may influence how superintendents respond to their changing school populations, especially for marginalized populations.

The highest ranked diversity elements within the national leadership standards alluded to meeting the needs of *all* children, while the least ranked diversity elements focused specifically on meeting the needs of children from marginalized populations. The top three diversity elements seemed to be the ones that were less likely to cause conflict for superintendents. However, the least important diversity standards for White, male, middle-class/upper-class, suburban/rural superintendents focused on meeting the needs of marginalized populations. Prioritizing the needs of marginalized populations as more important than students from the dominant culture (White, middle-class/upper-class, suburban/rural) might conflict with the priorities of these school districts. Because the majority of superintendents are members of the mainstream culture, serving *all* of the children would still encompass meeting the needs of students from the cultural majority. If the least important diversity standards focus specifically on the interactions with diverse learning communities, then superintendents, who were members of the mainstream, might not perceive promoting diversity standards as applicable to their current situation.

Another interpretation of the findings is the tension that may arise when superintendents pursue the promotion of diversity standards. The least important diversity requirements might carry a high propensity for conflict. Most superintendents are embedded in established White majority school structures and cultures that have not had to serve marginalized populations. School leaders should reflect upon the interactions of their unconscious attitudes about diversity and investigate how these attitudes might influence their priorities and decision-making. Perhaps superintendents would rather avoid actions that have the potential to cause conflict. If superintendents promote the education of diverse populations, then what resources

will be taken away from the majority population? School leaders may not have the knowledge or skills to challenge the multiple dimensions of equity associated with diversity standards. Superintendents who serve White middle-class communities may not recognize the issues or situations of inequity within diverse school communities. In turn, superintendents may not know how to conceptualize, to interpret, or to confront these complex societal issues effectively. They may not be aware of the diverse pedagogical practices, ELL research, or policies to establish equity for demographically changing communities (see Marshall & Oliva, 2006).

The weighted means for White, male, middle-class/upper-class superintendents for diversity elements within national leadership standards suggest a need for more cultural awareness, exposure, and understanding of diversity issues. Increasing attention to diversity within preparation programs might be necessary for superintendents who lead schools in the 21st century as they experience changes in their role to serve increasingly diverse schools (Kowalski, 2003; Young & Creighton, 2002). As superintendents come to understand their emerging role as the primary voice of the school community, they will be held responsible for promoting the values of a democratic society (Bjork & Kowalski, 2005). It was not clear to what extent superintendents fully understand the relevance or implications of national leadership standards for school leaders. Findings reveal a dissonance between respondents' rank-ordered diversity standards and the projected increases in their marginalized populations. These projected increases call for superintendents who can execute culturally responsive strategic plans. The demand for such policy changes were not reflected in the rank-ordered scores for White, middle-class/upper-class, males, who comprised the majority of respondents in this study. Although projected demographic changes are inevitable, there seems to be a lag between White, male, middle/upper class respondents' rank-ordered scores and the immediate demand for meeting the needs for increasingly diverse learning communities.

As the nation continues to undergo dramatic demographic changes, university faculty, policy makers, school leaders, and educators must embark upon a new era in public education. Scholars who prepare superintendents to lead schools effectively might reinforce the moral purpose of education by perpetuating a new cycle of empowerment. This new cycle begins with scholars creating culturally responsive learning communities within universities. This transformation could give birth to a new advocacy model, promoting aspiring superintendents who are culturally competent and morally committed to empowering diverse school populations. Culturally competent candidates could capitalize on their newly found cultural knowledge and skills by making a concerted effort to infuse knowledge into their practice. In turn, superintendents might begin to eliminate the disparities for children within marginalized populations. This critical mass of superintendents, who will be in positions of power, could promote meeting the needs of diverse student populations as a viable mechanism to employ reform. This type of initiative might encourage an ensemble of legislative reform efforts. Legislators, in turn, might create political alliances to extinguish the predicted negative consequences associated with the increased minority populations and globalization within America's public schools. The potential for such policies alludes to long-standing systemic change for public schools, which should be taken seriously. We need competent, knowledgeable, skillful superintendents who can uphold the nation's democratic ideals in times of controversy and challenge.

One means of upholding these democratic ideas is to infuse these philosophical underpinnings within school leadership preparedness programs. Today, school leaders should be equipped with the ability to create long-standing systemic change that promotes educational equity encompasses fiscal, administrative, programmatic, and attitudinal

roadblocks (AASA, 1993; ISLLC, 2003; NCATE, 2005). These standards not only require a major shift in how schools prepare educators, but also in how candidates can effectively apply newly acquired knowledge into practice. Scholars should measure to what extent candidates can demonstrate culturally responsive practices as well as their effectiveness to lead culturally diverse groups (Firestone & Riehl, 2005; Marshall & Young, 2006; Shakeshaft, 1990).

Although national leadership standards direct school leaders to guide and lead learning communities, school leaders might not have the knowledge or skills to systemically restructure traditional bureaucratic organizations. However, if school leaders are provided opportunities to problem-solve within diverse school settings, they might begin to acquire the necessary knowledge and skills to promote equity (Abrams & Gibbs, 2000; Howard, 2001). Newly acquired knowledge and skills might provide school leaders with opportunities to analyze potential outcomes for projected demographic trends, comprehensive strategic plans, and student academic performance. In turn, these critical analyses might result in translating newly acquired knowledge into culturally responsive actions/decision-making. As the United States enters the 21st century, schools must develop in ways that challenge oppression and use schooling as much as possible to help shape a future America that is more equal, democratic and just, not demanding conformity to monocultural norms.

CONCLUSION

Single sets of standards do not change national educational systems, institutional structures, or provide pertinent resources to make superintendents meet the needs of their diverse schools. Standards assist superintendents in focusing their attention on essential elements that establish a framework for them to operate within to meet diverse needs within their specific educational context. This perspective take into account the reality of personal, political, economic and educational forces without sacrificing the importance of standards that encourage superintendents to establish schools that serve *all* students. The conventional wisdom of applying national leadership standards into practice is one means of encouraging superintendents to frame their work around a shared vision, professional growth, management, collaboration, ethics, the political and cultural context, social justice, school improvement, democracy, and courage.

Standards alone cannot promote diversity elements. Those who prepare superintendents should align their school leadership preparation programs to the standards, promoting a forum to discuss and advocate for the premise, purpose, and promise of diversity. One means of promoting these pertinent issues is to create opportunities within preparation programs in which candidates critically examine the intersections of race, poverty, language, and class (Lopez, 2003). Preparation personnel should consider revisiting to what extent their programs create culturally diverse learning communities (Young & Laible, 2000). Immersing students within diverse settings, specifically urban schools, emphasizes the realities facing school leaders today. Promoting these investigations provides aspiring superintendents with opportunities to become more aware of the challenges and how to advocate for the needs of diverse groups. Examining leadership for social justice, understanding the implications of changing demographics, and deepening democratic ideals within school communities will provide superintendents with the knowledge base and skills necessary for the 21st century.

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Perspectives on Leadership: Race, Gender and the Superintendency—A National Study

Now women have more of a chance, but I still think that a man in most cases has a better chance.

Female Superintendent

reflecting on leadership and gender (2007)

Effie N. Christie, Jerry L. Jackson and Gerard Babo

INTRODUCTION

Since the early 1980's researchers have questioned the underrepresentation of women in political systems, corporate upper management positions and leadership positions in public education specifically, the disproportionate number of males to females in teaching as opposed to the American superintendency. This study examined career paths, obstacles and the prejudice women experienced en route to the superintendency, the role of school boards and community, gatekeepers and graduate school preparation programs validated in the voices of the female superintendents. The researchers also focused on the specific challenges faced by African American female superintendents and the demographics of the districts they serve. "Black women superintendents grew up doubly marginal in society, as females and African Americans" (Jackson, 1999, in Brunner, p. 141).

Survey Development

The survey was developed through an examination of the current literature, a review of the 2000 AASA study (Glass, Bjork & Brunner), and identified issues related to the recruitment and hiring of females, both white and African American. The survey probed topics relevant to the career paths of the female superintendents, their perceptions of themselves and how they believed others viewed them including community, colleagues, board of education members and the public, in their quest for the position. Specific survey questions were posed to establish a profile of leadership issues faced by women and garner information that could assist them, their mentors and aspirants to avoid the known pitfalls. A summary of the items included in this paper are as follows:

- District demographics; were women leading large, small or middle size districts and the issues connected to this phenomenon, if any;
- Experience level and age of the first superintendency and if these factors were impacting on entry into administration;
- Salary issues; were women being paid on an equal par with their male counterparts;

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- African American female superintendents' perceptions in their struggle to be hired in a predominately male and white female profession;
- Mobility to secure employment and other factors that impacted on hiring practices by gatekeepers;
- Career paths and did women feel they were adequately prepared for the superintendency.

The survey was primarily quantitatively descriptive in nature, which attempted to gather basic information on the current population of female superintendents. This manuscript has been mostly limited to a discussion of what was discovered through the quantitative data-gathering methodology which the instrument primarily measured. Qualitative and narrative construct will be explored in depth in a future publication; however, some dialogue has been integrated into this paper for the purpose of providing interest and intensity to the data.

Survey Participants

Through the assistance of the American Association of School Administrators (AASA), 1,200 potential female superintendent participants were identified nationally. Surveys were mailed to these 1,200 administrators with 470 being completed and returned. Of the 470 surveys returned, which accounted for a response rate of 39%, 37 were incomplete or completed inappropriately and were eliminated from the final data pool. This left 433 surveys available for analysis representing 36% of the entire population originally solicited.

LEADERS OF CHOICE

When asked to gauge the current climate in their school district toward gender preference concerning the selection of administrators, only 167 of the 433 participants responded. Of that sample, when asked who their district might choose when given the choice of two equal candidates for an administrative position, one male and one female, 77% said their school district would choose a male while 23% responded female. This observance seems curious considering that the district selected a female candidate for its chief school administrator and suggests that gender discrimination is prevalent even in a district that, for all appearances, is attempting to bridge the administrative gender gap. One can only speculate why 266 participants refused to answer the question at all.

Forty-four women elaborated on the question. The comments evidenced a sense of frustration as well as transparency in societal views. The women said that "we live in a society where the current make up of the current school board prefers a male superintendent over a female." "Males are still perceived as the ideal CEO," and the "male seems to fit the role according to public view." "The Midwest culture still portrays men as authority figures. Women have to be better to get the jobs, not equal." The "board is male dominated, town government is male dominated, women are still thought of as 'surprising' when they are leaders." In response to the question of the existence of an "ol' boys' network," one superintendent wrote:

A man would more likely be hired because of the "good ol' boy" mentality which exists in our state. Women have always had to prove themselves much more aggressively than their male counterparts. There are some individuals in our state

who still consider women ‘weak’ in areas of leadership. There are some who simply manipulate the system and use the “I’m a good ol’ boy and you owe me one” to get the position they want.

In terms of board of education composition and their views of leadership, the women continued with their comments, “It is still a man’s world” and “School board members here were uneasy accepting a female superintendent. They are fine with it now.” “Three of five board members still believe a man can do better.” The following comment offered a glimmer of hope, “The history of this district is male dominated in administrative positions, but this is changing.” Overwhelmingly, the cadence continued with community preferences for a male superintendent, “Men are usually considered better candidates for fiscal management,” and finally, “The board of education stated this (preference for a male superintendent) directly last week during the search for my replacement. I believe that I was hired by a board who thought they could ‘run’ the district with a female and when they found out how strong I was, they would never go there again. It is more the ‘community’ that is not favorable to female administrators, a very good old boy network.” These comments permeated the discourse on the hurdles women must overcome to stereotypes that appeared to dot the landscape of the nation’s schools. The substantive dialogue dispelled the myth that gender discrimination doesn’t exist, and undergirded the urgency required of graduate schools to reconstruct leadership preparation programs to prepare women for this reality. The 2000 AASA study of the superintendency (Brunner, 2000 in Glass et al.), spoke to this issue.

The significant difference between the female superintendents’ views that discriminatory practices exist and the male superintendents’ majority views that discriminatory practices and barriers are not a factor is troubling. Unless these practices and barriers are addressed, increasing the numbers of women in the position of superintendent of schools will be extremely difficult. It is after all, most often the male superintendents who are mentors for others aspiring and entering the position. And if male superintendents do not believe that women face discrimination and/or barriers that limit their administrative opportunities, they are less likely to understand the need for them to mentor and encourage women (p. 89).

Gender stereotypes have damaged the ascent of women to the superintendency because “According to role congruent theory, the agentic qualities thought necessary in the leadership role are incompatible with the predominately communal qualities stereotypically associated with women, thus resulting in prejudice against female leaders” (Hoyt, 2007 in Norhouse, 2007 p. 277). Women face prejudice through “...the decision-making process for selecting elite leaders” because these decisions “succumb to homosocial reproduction, a tendency for a group to reproduce itself in its own image” (Hoyt, 2007, in Norhouse, p. 277). According to Hoyt (2007), when male leaders search for a replacement, the preference for “similar others” can place women at a disadvantage (in Newhouse, p. 277). Since this is a national issue, perhaps the United States should follow the example of Norway’s 2003 law “requiring companies to fill 40 % of their board seats with women by 2008,” a goal that has been achieved, or Spain’s legislation by Parliament calling for “40 percent board participation by women by 2015” (Reier, 2008).

THE MYTHS

Female Superintendents and Age

A majority of the women surveyed, 67%, were between the ages of 50–59. The remaining age ranges were 15% between the ages of 36 - 49, 16% were 60 years of age or older and only .5% were between the ages of 25–35. However, 50% of the women obtained their first superintendency between the ages of 36–49 and 43% between the ages of 50–59. These two quantitative measures imply that most survey participants were experienced superintendents. These encouraging statistics could indicate a trend in shattering the “glass ceiling” phenomenon at an earlier age than in previous decades. The 2000 AASA study reported that 21.1% of female superintendents had obtained their first administrative position (as opposed to a superintendent position) before age 30 as compared to 53% of their male counterparts (Brunner, 2000 in Glass, et al., p. 85). Search firms interviewing candidates for the superintendent position have cited the advanced age of women applying for these positions (Dana & Bourisaw, 2006). Kamler and Shakeshaft (1999) reported consultants who remarked that females who had been working in the teaching field for “fifteen, twenty, twenty-five years” were looking for a superintendent position at the age 55 or 60 when the males were retiring age 55 making it difficult for them to get jobs” (1999 in Brunner, p.57). Survey results imply that women are now entering the administrative pipeline at an earlier age giving them a more competitive footing in the superintendent marketplace.

Is Relocation an Issue?

Another impediment often mentioned to obtaining a superintendent position has been the ability or willingness to relocate. “Women are sometimes place-bound and unable to make a move without separating from the family, a step that has been judged in the sex-role stereotype for women as unwise, particularly if there are children at home. Commuter marriages are becoming more common, particularly after the children have left home to pursue their own education and life experiences (Dana & Bourisaw, 2006, p. 72). “Responsibilities at home and at work may be partially solvable through paid help, but a lack of mobility to achieve job advancement may be a tougher barrier to conquer (McCreight, 1999, p. 3). McCreight reported that in an Illinois study of 1,300 female educators holding administration certification, 78% reported they would not relocate for an administrative position. The 2000 AASA study reported that 41% of the women cited the lack of mobility of family members as an “important factor” and a barrier limiting administrative opportunities with 47.1% citing it as a “somewhat important factor,” and 8.5% reporting it as “not a factor” compared to the men’s 13.9% (Brunner, 2000 in Glass et al., p. 88). Note that 50.6% of the men said that the mobility of family members was a “somewhat important factor” in the AASA study (p. 88).

To determine the level of commitment to acquiring a superintendents’ position, a question participants were asked if they would be willing to relocate for an opportunity to assume the job of a superintendent. Of the 390 who responded, 37% said they would not be willing to relocate. However, the remaining 63% indicated that this was a possibility with 12% responding that they would move to another state to acquire the position (See Table 1).

Table 1. Percentage of Participants Willing to Relocate for a Superintendency (N = 390).

Willing to relocate to	Percent
Another state	12%
Nearby community	23%
Distant community/same state	28%
Unwilling/unable	37%

The willingness to relocate appears to support that women are becoming flexible in their home lives and/or are changing views of themselves as sole caregivers of their families and are willing to move to fulfill career goals.

Female Superintendents' Perceptions of the Job

To assess participants' perceptions of the superintendency, respondents were asked how they perceived the job functions, requirements and responsibilities of the position. Results are displayed in Table 2.

Table 2. Percentage of Participants' Perceptions of the Superintendency N = 433.

The job of the superintendent is:	Yes	No	Unsure	N/R*
Pleasant	81%	6%	4%	9%
Bad	3%	80%	2%	15%
Ideal	28%	48%	10%	14%
Good	85%	4%	2%	9%
Worthwhile	94%	1%	1%	4%
Satisfying	92%	1%	2%	5%
Excellent	48%	28%	12%	12%
Difficult	71%	16%	5%	8%
Inadequate	3%	79%	3%	15%
Poor	2%	80%	3%	15%
Disagreeable	10%	71%	4%	15%
Better than most	73%	9%	6%	12%
Enjoyable	83%	4%	5%	8%
Superior	35%	37%	15%	13%
Worse than most	3%	80%	2%	15%

(*N/R = no response)

The job of the superintendent was pleasant to 81%, enjoyable to 83% and worthwhile to 94.2%. This data contradicts the notion "...that women do not aspire to the superintendency either because they prefer the more traditional role of wife, mother or they are not 'socialized' to deal with a typically male role" (Rhode, 2003 as cited in Christie, 2007, p. 474). Grogan (2005) wrote "Women do aspire to the superintendency; not only that, but they are successful in the position and they enjoy the work." Grogan's statement was corroborated by the survey and validated that women were willing to take on the challenge of the superintendency.

Male Presence and Salary

Eighty-four percent of the female superintendent participants (N = 428) reported they replaced a male superintendent when they assumed the responsibilities of their current position; 15% said they did not. The salary issue was prompted by the question asking if salary was based on years of experience and competitive with the salary of male superintendents in the geographic area or that of the previous superintendent. When asked about salary, 66% reported they felt that their salary was competitively represented and based on their years of experience; however, 33% reported that their salary was not based on their expertise nor was it competitive with male superintendents in the area. While responses indicated that the salary gap between men and women may be closing, there were numerous comments on the topic. One female superintendent indicated a lower salary due to her inexperience while another said that her "salary was based on years of experience but not competitive with other male superintendent salaries in the area." Another respondent said that she "had to fight to get what they had been paying him" (the previous male superintendent). Her resolution was to give up the bonus plan to "get the salary I wanted". She reported that the bonus plan was reinstated in the second year of her tenure.

Based on the survey statistics and narratives provided by the female superintendents, the women, for the most part, had full knowledge of the salary levels of their male counterparts and were determined to match if not exceed those levels through the hiring process. The salary gap between men and women may be closing in this profession but there is also an indication that it may come from preparation, negotiation and perseverance on the part of the women.

Board members' perceptions of female superintendents' roles and responsibilities

To investigate female superintendents' perceptions of board of education perceptions toward female superintendents, a question was posed asking participants if they believed that their board's view towards female school leaders was limited to curriculum expertise only. Most respondents, 70% (N = 407), stated that this was not the case while 30% stated that it was. A follow-up question revealed that 58% of the participants assumed employment in their current school district while a major facilities project was under way, providing some evidence that current boards of education do not see a female superintendent's role limited to curriculum and instruction.

THE INVISIBLE AFRICAN AMERICAN FEMALE SUPERINTENDENT

Throughout the research, one question continued to gnaw at the researchers, namely, why were there so few African American females in the superintendency? Fifty-three years after Brown, invisible barriers like the "glass ceiling" still remain. According to the Executive

Director for the Glass Ceiling Commission, "...the glass ceiling is one manifestation of the perpetual struggle for equal access and equal opportunity." Redmond stated that, "...the glass ceilings are the artificial barriers that deny women and minorities the opportunity to advance within their careers" Redmond (1996, p. 1).

The history of the African American school superintendent and other superintendents of color is unique because the context in which they emerged evolved beyond the walls of traditional mainstream preparation programs. School superintendents of color—African Americans, Asian Americans, Hispanic Americans and Native Americans—were excluded from established teacher-education programs (Simmons, 2007). The political economy that embraced segregation and racism denied access of African Americans to the very institutions that could legitimize their existence in the education community.

This study elicit evidence a large number of African American superintendent responses which begged the question—where are the African American women who are receiving an M.A. or Ed.D. in education administration? Are their dreams totally dormant? "While gender balance continues to improve, there was essentially no change in the racial and ethnic diversity of the responding superintendents" (Kamler, 2006, p. 298). The aggregate of New York state's non-white school superintendents equals 3%. Why can't black administrators find jobs in majority white districts? As one veteran African American superintendent said, "Whether it's Scarsdale or Watts, from the Atlantic to the Pacific, the job of being a superintendent does not change. Yet, in the end when I get inquiries, 99 percent of the time they are for a school district that is in a community that is poor and dysfunctional" (Jackson, 2006, p. 25).

These numbers strongly indicated that whites can move across racial lines and increase their opportunities for career advancement more easily than can African Americans and other minority groups. As an analogy that speaks to this issue, the invisible barriers that restrict the movement of African Americans limit their options and, in effect, also leave them in competition with one another for the meager 50 plus principal positions in minority communities on Long Island, versus the 563 available principal positions (Jackson, 2006).

Research shows that the 12% or so of female African American superintendents handle large urban districts. Why can't they step over the barrier to suburban districts? The subtle pervasive message that comes across to African-American female superintendents who seek positions in non-minority school districts is that they are not the "right fit" (Jackson, 2006).

When Redmond (1996) addressed the "Working Women's Summit" held by Women in Technology International (WITA) in Philadelphia, Redmond said, "We do not yet live in a color blind or gender blind society. Sexism, racism and xenophobia live side-by-side with unemployment, underemployment and poverty; they feed on one another and perpetuate a cycle of unfulfilled aspirations among women and people of color" (1996, p.1). Redmond's reference is analogous to the intent and spirit of the affirmative action laws. Theoretically, affirmative action laws were designed to level the playing field in hiring cases where, all things being equal, women and people of color would be given preference. Yet when it comes to matters of redress, it is ironic that affirmative action has reaped greater benefits for white females than for African American women. In New York state the current data indicates that white females have surpassed African American female superintendents by double digits. Since 1997 the percentage of women in the superintendency has increased from 12.1% to 22.1%. Nationally, this unexpected outcome has pushed people of color to the side and rendered African American females virtually invisible. Blount (1998) viewed this increase in the percentage of women superintendents as the result of "persistent, courageous, and collective efforts by activists determined to see equitable distribution of power in school

employment and a tribute to the women and men who have mentored and encouraged women onward” (pp. 147-148). The white female superintendent’s progress under the protection of affirmative action may have caused people of color to cry foul for good reason. African American feminists have argued that unlike their white counterparts, women of color are burdened with the inequalities of race, class and gender—a three-fold setback. Taken separately, each type of discrimination has the potential to have a detrimental impact on status. In the foreword of *Sacred Dreams*, Schmuck put the scope of African American female superintendents’ plight into perspective when she writes, “While the feminist movement has been, in large part, a white, middle-class movement, the literature on women of color has been growing and leads to our understanding that race and ethnicity are also factors in the gendered construction of schooling (1999, p.ix).

Until recently, the African American female’s treatment in the press has been superficial at best. In terms of books or journals, chapters dedicated to people of color have appeared in the final section or chapter as an afterthought. One example is the book, *The contemporary superintendent: Preparation, practice and development* by Bjork and Kowalski (2005) where the last chapter before the summary is dedicated to minorities in the superintendency. Whether intentional or not, reporting in this fashion reflects the amalgam of several independent ethnicities (African, Asian, Native and Hispanics) and fails to zero in on the unique qualities germane to an ethnic group or race. Invariably, “lumping” groups together and marginalizing minority groups compromises the integrity of the research. While it is clear that between 1990 and 2007 authors and researchers (Bjork, 2007; Glass, 2000; Grogan, 2005; Kamler, 2005), have attempted to interpret the superintendency through the lenses of superintendents of color, they have not embraced the unconscious race issues that have, in actuality, sustained African American female superintendents’ invisibility as CEOs, in spite of their good intentions (Lawrence, 1995). The invisible barriers that have restricted the movement of African Americans have limited their options and placed them in competition with other African Americans for the few available openings.

As a result of the nation’s changing demographics, the education landscape pursuant to stricter compliance issues under the No Child Left Behind (NCLB) law have made researchers more responsive to the leadership profile of the female superintendent. If the observations of Brunner and Grogan (2007) are accurate, then this nation is looking at an increased turnabout as to the level and quality of attention researchers are giving to superintendents of color. According to Brunner, the percentage of superintendents of color has not kept pace with the increased percentages of children of color attending public schools (Brunner, 2000 in Glass et al., p.103). Overcoming the white male power structure has presented enormous challenges for African American women seeking leadership positions. White males have functioned with the belief that they were losing precious ground to people of color and minorities (Jackson, 2006; Redmond, 1996). Perceived or otherwise, under those circumstances, progress at the expense of white males will cause friction in the workplace especially when white males do most of the hiring (Jackson, 2006; Redmond, 1996).

DEMOGRAPHICS AND QUALIFICATIONS: WHO WE ARE

District location

Based on this sample, most female superintendents, or 50%, are employed in rural school districts; 12% are in urban school districts, 31% in suburban and 8% selected other, an amalgamation of suburban/urban or rural/suburban. Based on a three state study of female

superintendents, Sharp, Malone, Walter and Supley (2000) suggested that “job placement may tend to be influenced by the location of the district” (p.5). The virtual absence of women in the middle group of districts with 3,000 to 24,999 students could be a determinant in the low numbers of females in the superintendent position owing to the belief that women do not have the financial or manager background to handle a district of this size. Women are in a majority in heading large districts of over 25,000 students and are in the majority in small rural districts. (Sharp et al., 2000, p. 5). The female superintendents in rural districts offered a contradiction to the perception that women are unable to handle finance and construction since rural-district roles are often multi-dimensional with the requirement to handle it all. As one respondent elaborated, “We are too small for extra staff. I must do personnel, instruction, budget, facilities, public relations. It is fulfilling and very difficult.”

Administrator experience

When queried about previous administrative experience before obtaining the superintendency, an overwhelming number of participants, 44%, replied that they had served as an elementary school principal; 19% had come from a previous central office position and 13% had been a high school principal (see Table 3). These numbers seem to imply that more districts are recruiting school leaders with building level leadership experience, as in this case a representation of 57% of all respondents. .

Table 3. Female Superintendents' Previous Administrative Positions Held N = 423.

Prior Position	Percent
Elementary Principal	45%
Assistant Elementary Principal	4%
JH/MS Principal	10%
JH/MS Assistant Principal	4%
HS Principal	13%
HS Assistant Principal	2%
Central Office	19%
Other	4%

Because an unusually high number of respondents reported serving as an elementary school principal before moving into the superintendency, we performed a Chi-Square “goodness-of-fit” test to determine if there was a significant difference between the observed frequency of responses to this category as compared to the expected frequency of responses. The computed chi-square statistic was 2817.775 and found to be significant, $p = .000$. This finding gave credence to the previously stated implication that current school boards are filling their district leadership positions with instructional leaders. While this could be an important career path to the superintendency in a K-8 district, the elementary principal experience may also be a subtle barrier to the superintendency. Some studies have indicated

that a major path to the superintendency is the high school principal position (Bjork et al., 2000; Farmer, 2007) where the percentage of women compared to the elementary level (45%) is much lower (13%).

Education preparation

With regard to levels of education attainment, of the 411 participants who responded to this question, 65% of the sample had earned a doctorate, 24% an M.A. plus additional credits, 11% an M.A. or M.S. and less than one per cent a B.A. plus (actually only one participant). Since these percentages seemed to represent an extremely large number of participants with a doctorate, a Chi-Square test was performed to determine if the observed and expected frequencies of level of education was significant. Having found that only one individual had an educational level of B.A./B.S. plus, that case was eliminated from the statistical analyses and a “goodness-of-fit” test was performed on the expected frequencies of educational level for the categories remaining M.A., M.A.+ and Ph.D/Ed.D. The computed chi-square statistic was 191.829 and found to be significant, $p = .000$ (see Table 4). Whether this statistical occurrence can be replicated equally among male superintendents is speculative. Based upon this finding, it appeared likely that a doctorate was a pre-requisite for a woman to attain a superintendent position. The literature pointed to the fact that women are now the majority in graduate administration preparation programs and “are also walking off with most of the honors degrees” (Christie, 2007. p. 474).

Survey questions pertaining to education experience displayed a variety of responses. Table 4 displays participants’ education experience; it must be assumed that many responses were articulated across categories. Although calculation of the means on each category seemed low, it can be assumed that many of the participants’ responses can be attributed to several categories. For example, a respondent could have spent 3 years as a supervisor, 2 years as a director, 5 years as a principal and 3 years as a superintendent for a total of 13 years of administrative experience. Overall, the highest mean scores were obtained in teaching experience, 8 years, the principalship, 7 years, and the superintendency, 6 years.

Additionally, Table 4 illustrates that most participants had served as a building principal and a little less than half had served in the capacity of assistant superintendent of schools. What can be surmised is that most participants were experienced administrators, specifically at the building level, a trend that is increasing in importance as school districts are mandated to address the performance issues of NCLB, specifically Adequate Yearly Progress (AYP).

HOW WE CRACKED THE GLASS CEILING

In a study conducted in Texas of six women superintendents to identify professional and personal characteristics and style of leadership, leadership themes emerged from the data analysis that made these women outstanding in their field.

Eight recurring themes that emerged from the inductive data analysis include being a visionary, acting professionally and ethically, allowing time for dreaming and creating, communicating effectively and often, motivating staff and self, being truly committed to their leadership role and to children, having a strong work ethic and having the energy and stamina in order to do their job (Funk, Pankake & Schroth, 2002, p. 5).

Table 4. Analysis of Participants Education Experience.

	N	Minimum	Maximum	Mean	Median	SD*
Teaching Experience	269	0 yrs.	34 yrs.	7.97 yrs.	7 yrs.	6.54
Pupil Service Experience	51	0 yrs.	26 yrs.	5.42 yrs.	3 yrs.	5.74
Supervisor Experience	39	1 yrs.	14 yrs.	4.44 yrs.	3 yrs.	3.67
Director Experience	120	1 yrs.	21 yrs.	4.94 yrs.	4 yrs.	4.24
Principal Experience	322	1 yrs.	23 yrs.	7.41 yrs.	7 yrs.	4.37
Assistant Superintendent Experience	148	.5 yrs.	15 yrs.	4.06 yrs.	3 yrs.	3.06
Superintendent Experience	293	0 yrs.	27 yrs.	6.29 yrs.	5 yrs.	5.08

(*SD = Standard Deviation)

Considering the obstacles women had to overcome to attain the superintendency, these characteristics, although not particular only to women, provide some insight into the leadership profile of women who finally “crack the glass ceiling.”

Participants responded that on average, they completed three applications in their search for their first superintendency. Table 5 breaks down more precisely the number of applications completed by the sample. Almost half (45%) said they only filled out one application in their quest for their first superintendency and 10% replied that they did not fill out any applications. Apparently some respondents were pre-selected or recruited for the position or possibly the school district that employed them did not adhere to a strict application process. It could also indicate an election process was required for the position.

Similar data were collected concerning the number of times the participants (N = 423) were interviewed for their first superintendent’s position. Most of the sample (77%) indicated they attended between one and three interviews to obtain their first position, a range that might be considered low, and gave evidence that these candidates might have been pre-selected or recruited for the position. One (.2%) unfortunate individual attended 30 interviews before securing her first position. The data are encouraging since the 2000 AASA study reported that 59.2% of the 294 women who participated in that study had found their first position in less than one year after receiving certification (Brunner, 2000 in Glass et al., p. 87). The speedy interview process following only a few applications resulting in a superintendent appointment provided some credence to boards being favorable to considering female applicants.

CONCLUDING THOUGHTS: HOW CAN THEY OVERCOME?

Why Study the Female Superintendent?

There is a need for women to be able to identify themselves as part of the social institution, not as its footnote. Over the past few years, researchers have investigated the inequities of the female superintendent issue with tortoise-like progress evolving on a national level in comparison to the increasing numbers of women in other professions. This study was initiated

Table 5. Percentage item analysis on the number of applications completed by the current sample of female superintendents in search for their first superintendency N = 424.

Number of applications Completed	Percent of participants
0	10%
1	45%
2	11%
3	11%
4	5%
5	5%
6	3%
7	1%
8	1%
9	1%
10	3%
11 or more	4%

by three professors teaching in the department of education administration at a New Jersey university. Of the three undertaking the study, one had served as the first female superintendent in two elementary rural/suburban New Jersey districts when women were a novelty in the position, and as an assistant superintendent in a large pre-school-12 urban district; a second researcher, an African American male, was perplexed by the plight of African American colleagues during his superintendent tenure in Long Island, New York; the third researcher was both principal and assistant superintendent intrigued by the statistics involved in the study. As a result of their first-hand experiences, the researchers approached the study with valuable insights in the position as well as board/superintendent relations, the hiring process and the political/ public relations involved in surviving the superintendency.

The Women have Spoken

The study defined several critical areas where the participants shattered popularly held perceptions of the female superintendent and clarified the discrimination and prejudice that still permeate many boards of education and community members. A review of the data revealed responses that were a shift from the beliefs held about women superintendents. Some long held perceptions of why women were not entering the superintendency were dispelled through the candid dialogue ignited by the voices of those women who succeeded in attaining the position. The women's perceptions regarding university preparation programs unraveled

the cocoons of those responsible for their development and stymied those who have been in a state of denial and continue to assert that gender discrimination in the superintendency is non-existent (Glass, Bjork & Brunner, 2000, p. 89).

Race discrimination in the superintendency was added to the discourse based on the survey data and current literature. There was evidence that African American females had not progressed in securing superintendent position on an equal level as white females in spite of federal laws prohibiting discrimination in hiring. This study found evidence that women aspired to the position of superintendent, were willing to re-locate, and had made gains in achieving an equal salary footing with men in some parts of the country. Women have been entering the superintendency at an earlier age than previously and earning doctorates at high numbers in preparation for “cracking the glass ceiling.” Overall, women were spending less time in the interview process prior to being hired and were courted by districts seeking instructional leaders. As such, the study has contributed to the current research on females—both white and African American - in their struggle to attain an equal footing with men in competing for the available jobs. The study, however, is not complete. Focus groups and interviews are needed to expand and capture additional discourse.

The Moral Imperative

Finally, the study provided insight into the failure of stakeholders to close the gender and race gap in the superintendency. Board members, community members, university personnel, professional organizations and legislators have a moral obligation to reflect and challenge the modus operandi of their membership and develop a progressive advocacy for women aspiring to the superintendency. “Indeed, empowerment results from one ‘in power’ sharing power” (Grogan, 1999 in Brunner, 2000, p.211). As a function of what the researchers have tried to accomplish, Grogan said it well: “We learn through the layer that is used to describe how we should think and what we should be like as participants in social institutions (1999, in Brunner, 2000, p. 201).

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Preservice Principals' Perceptions of Culturally Proficient School Leadership

Mack T. Hines III

Preservice principal programs prepare principals for positions of school leadership (Alford & Spall, 2001; Hines, 2007). However, few, if any, training programs prepare preservice principals for providing schools with culturally proficient leadership. To reverse this trend, preservice principal programs must evaluate preservice principals' familiarity with cultural proficiency and culturally proficient school leaders. In this study the researcher investigated preservice principals' perceptions of the importance of culturally proficient school leadership. The researcher also focused on preservice principals' perceptions of their principals' use of culturally proficient school leadership. The research questions were:

1. What are preservice principals' perceptions of the most important culturally proficient practices of school leadership?
2. What are preservice principals' perceptions of the frequency of their principals' uses of culturally proficient practices of school leadership?

The significance of this focus is twofold. First, schools consist of teachers and students from various cultures and ethnicities. Principals must be able to accommodate this diversity through culturally proficient leadership (Riehl, 2000). In particular, they must be able to create an environment that allows teachers, students, and parents to feel a sense of belonging to the school. Consequently, preservice principals must be prepared to fulfill these culturally proficient responsibilities. They should acquire some of these experiences during their enrollment in preservice principal programs.

Second, principals are the most influential figures in schools (Burns, 2002; Schein, 1992). They shape the culture and climate of the school. Therefore, aspiring principals must be aware of the extent to which their principals engage in culturally proficient leadership practices. They could use this analysis to compare their perceptions of culturally proficient school leadership with observed practices of culturally proficient school leadership. They may then develop a better understanding of how to meet the diverse needs of the students, parents, and teachers.

LITERATURE REVIEW

In *Culturally Proficiency: A Manual for School Leaders*, Lindsey, Roberts, and Terrell (2005) described the theoretical underpinnings and elements of a culturally proficient school culture. They described a culturally proficient school culture as "Policies and practices of a school or the values and behaviors of an individual that enable the school or person to interact effectively in a culturally diverse environment. Cultural proficiency is reflected in the way a school treats staff, students, parents, and community." (p. 146).

According to the authors, culturally proficient school principals use six practices to develop this culture in schools. They are valuing diversity, assessing culture, managing the dynamics of differences, institutionalizing cultural knowledge and resources, adapting to diversity, and inclusiveness. Listed below is a description of these practices.

1. **Valuing Diversity.** Principals must engage in a variety of practices to model diversity in schools. First, they must infuse the school with a climate of acceptance and respect. That is, they must emphasize the importance of recognizing and celebrating the uniqueness of all stakeholders. In addition, they must foster acceptance of differences in accordance to race, gender, socioeconomic status, and other diverse characteristics. Most important, culturally proficient principals must model the academic and social benefits of diverse school cultures.
2. **Assessing the Culture.** According to Lindsey et al. (2005), cultural self assessment emphasizes the evaluation of the cultural weaknesses and strengths of schools. Assessment tools range from discussions on biased curricula to stakeholders' feelings about the school. These practices convey the importance of understanding how the culture impacts the overall climate of the school.
3. **Managing the Dynamics of Difference.** Culturally proficient principals must proactively search for the hegemonic perspectives of cultural differences in the school. That is, they develop ways to understand how cultures of power and privilege impact the overall culture of the school. Principals must also address the negative influences of societal power and privilege on the dynamics of the school culture.
4. **Adapting Diversity.** Cultural proficiency is a lifelong learning process (Lindsey et al., 2005; Riehl, 2000). Therefore, principals must provide students and teachers with time to adapt to this process. Support strategies include but are not limited to: Engaging in cross-cultural communications, Accepting cultural interventions for minimizing conflict and confusion, and Addressing barriers that remove inequitable practices from the school.
5. **Institutionalizing cultural knowledge and resources and Resources.** Principals should use staff development to develop teachers' and students' abilities to become cohesive cross cultural communities. These training experiences should focus on concepts that threaten the cultural diversity of the school. For example, principals could provide faculty and staff members with sensitivity training on cultural differences. Additionally, principals could hold cross cultural assemblies for both students and teachers. These experiences should also be translated into culturally proficient programs and policies.
6. **Inclusiveness.** With inclusiveness, culturally proficient principals model the inclusion of diverse perspectives in the decision making process. Evidence to this effect is seen in the ethnically diverse makeup of advisory and decision making committees. In addition, parents and students are provided with the opportunities to share their ideas for developing the mission of the school (Lindsey et al., 2005; Riehl, 2000).

Smith (2004) conducted a seminal study on the culturally competent beliefs and practices of 11 principals in high performing, high poverty California schools. In particular, she created a 35-item culturally proficient survey from Lindsey et al.'s (2005) theories on cultural proficiency. She used this instrument to measure the principals' perceptions of effective culturally proficient school practices. In addition, she measured their most frequently used culturally proficient leadership practices.

The findings showed that the principals perceived and frequently used practices that reflected valuing diversity (eg. "Ensuring decision making includes diverse perspectives"), assessing the school culture (eg. "Provides academic intervention programs to meet needs of diverse students), and managing the dynamic of differences (eg. "Provides conflict resolution program for students"). She concluded accountability measures should be used to ensure that principals engage in culturally proficient school practices. My research extended Smith's (2004) study in examining preservice principals' perceptions of culturally proficient leadership in a variety of schools. This approach creates new perspectives for interpreting the quality and quantity of culturally proficiency leadership practices in schools.

METHODOLOGY

Participants

This study consisted of 64 randomly sampled second-year preservice principals from two Texas universities. This population consisted of 29 (45%) males and 35 (55%) females. The ethnic population was as follows: 21 (33%) Caucasian American, 20 (31%) African American, and 23 (35%) Hispanic. Twenty-six (40%) preservice principals worked at high schools, and 20 (31%) preservice principals worked in middle school. The remaining 18 (29%) preservice principals worked in elementary schools. Nineteen (29%) preservice principals worked with African American principals. Twenty six (40%) preservice principals worked with Caucasian American principals. The remaining nineteen (31%) preservice principals worked with Hispanic principals.

Instrumentation

The instrumentation for this study was Smith's (2004) 35-item cultural proficiency survey. The survey consisted of six constructs. They were *valuing diversity* (12 items: Alpha = .82), *assessing the culture* (7 items: Alpha = .86), *managing the dynamics of difference* (4 items: Alpha = .86), *institutionalizing cultural knowledge and resources* (4 items: Alpha = .80), *adapting to diversity* (3 items: Alpha = .83), and *inclusiveness* (5 items: Alpha = .91).

Participants used two Likert-like scales to respond to these construct items. The first Likert scale measured the importance of each item. The Likert-like scale ranged from 1-"Not Important" to 5-"Very Important". The second Likert-like scale rated the participants' perceptions of their principals' frequency with using the culturally proficient practices in schools. The scale ranged from 1-"Never" to 5-"Always".

Validity and Reliability

I validated the study by presenting the instrument to a panel of professors from seven different universities. The professors taught courses on cultural proficiency. I selected the professors after hearing their conference presentations on cultural proficiency. They made and

I followed their suggestions for improving the readability of some survey items. The most significant content suggestion was to shorten the length of the sentences. After complying with the suggestions, I piloted the survey on 34 preservice principals. The overall .86 Alpha coefficient showed the instrument's internal consistency.

Data Collection and Data Analysis

I contacted and explained the study to the chairpersons of each university's education leadership departments. I asked them for a list of the names and campus e-mails of their preservice principals. After receiving the list, I randomly selected 102 students to participate in the study. I e-mailed a cover letter and the survey to the students. In the cover letter, I asked them to return the survey to me within two weeks. During the second week of data collection, I received 64 surveys from the students. Thus, I achieved a 62% return rate. Statistical Packages for Social Services (SPSS) were used to analyze survey responses. I used descriptive statistics to report the mean scores and standard deviations for the preservice principals' perceptions and observations of culturally proficient leadership.

FINDINGS

The first research question asked the participants to identify the most important culturally proficient school leadership practices. The findings showed that the 10 most important practices were from the elements of valuing diversity, inclusiveness, assessing the culture, adapting to diversity, and institutionalizing cultural knowledge and resources. Practices from valuing diversity were creating a climate that has high academic expectations for all students; providing instruction that addresses the background of diverse students; ensuring that school policies are sensitive to the cultural makeup of the school; and making decisions that are inclusive of diverse perspectives. The practice from adapting to diversity was creating a school environment that inspires students and teachers to acknowledge other cultures while retaining the uniqueness of their ethnic identity. Practices from inclusiveness were connecting students and staff to external organizations and resources that represent cultural diversity; and providing an inclusive environment that acknowledges the diversity of students. Practices from assessing the culture were encouraging staff to obtain certification in specifically designed academic instruction; and creating academic intervention programs that meet the needs of diverse students. The practice from institutionalizing cultural knowledge and resources was exposing faculty to staff development on addressing diverse student populations.

The second research question asked the participants to identify their principals' most frequently used culturally proficient school leadership practices. Findings showed that the 10 most frequently used practices were from the elements of valuing diversity, assessing the culture, institutionalizing cultural knowledge and resources; and managing the dynamics of differences. The practices from valuing diversity were using language in documents and statements that acknowledge cultural diversity of students; creating a climate that has high academic expectations for all students; and providing instruction that addresses the background of diverse students. The practices from assessing the culture were handling formalities to ensure that faculty and visitors are welcomed to the school; disseminating demographic information to enhance faculty members' awareness of the relevance of cultural diversity; encouraging staff to obtain certification in specifically designed academic instruction; and creating academic intervention programs that meet the needs of diverse students. The practices

from institutionalizing cultural knowledge and resources were exposing faculty to staff development on addressing diverse student populations; and making provisions for teachers to receive training on making curriculum modifications in accordance to the cultural and linguistic makeup of students. The practice from managing the dynamics of differences was designating funding and human resources to address issues that relate to cultural diversity (See Appendix A).

DISCUSSION

This research produced several worthy points of discussion. Consistent with Smith's (2004) findings, the participants of this study responded that elements of valuing diversity and inclusiveness are important culturally proficient leadership practices. They also observed their principals incorporating valuing diversity, inclusiveness, and managing the dynamics of difference in their culturally proficient leadership. However, unlike the participants in Smith's (2004) study, participants in this study placed strong emphasis on the importance of adapting to diversity and institutionalizing cultural knowledge and resources. In addition, they observed their principals demonstrating culturally proficient leadership through the institutionalization of cultural knowledge and resources. This finding does not suggest that Smith's participants neglect the need for institutionalizing cultural knowledge and resources, adapting to diversity, or institutionalizing cultural knowledge and resources. Instead, this finding suggests that there are some different perspectives on the importance of and observations of certain elements of culturally proficient school leadership.

This difference could be attributed to two factors. First, the participants in Smith's (2004) study were practicing principals. Participants of this study were aspiring principals. Consequently, their perceptions of culturally proficient leadership are shaped by different positions in the school. As such, differences will exist between this study's participants' observations of and Smith's research participants' demonstration of culturally proficient leadership practices.

The second possible explanation for this difference is region. The Smith study was conducted in California public schools. This study was based on aspiring principals of Texas public schools. Given the differences in two states' school populations, the two groups would have different perceptions of the importance of culturally proficient school leadership. In addition, the preservice principals' observations of culturally proficient school leadership in Texas would differ from the culturally proficient leadership behaviors of the principals in California.

The second significant finding is the similarities and differences between the participants' perceptions of and observations of culturally proficient leadership. The preservice principals placed high emphasis on culturally proficient school leadership practices from elements of valuing diversity, adapting to diversity, assessing the culture, institutionalizing cultural knowledge and resources, and inclusiveness. Likewise, they observed their principals practicing elements of valuing diversity, assessing the culture, and institutionalizing cultural knowledge and resources.

However, the preservice principals did not observe their principals consistently engaging in practices of adapting to diversity or inclusiveness. Along those same lines, they did not place strong emphasis on managing the dynamics of differences. Additionally, different emphases existed between preservice principals' perceptions of and observations of valuing diversity, assessing the culture, and institutionalizing cultural knowledge and resources. The significance of these similarities and differences are twofold. First, the similarities suggest

that the preservice principals perceive that they and their principals hold similar values on the importance of valuing diversity, assessing the culture, and institutionalizing cultural knowledge and resources. The differences denote the diverse perspectives between the preservice principals' perceptions of and observations of culturally proficient leadership practices.

Evidence to this effect is seen in the higher mean scores for the perceptions of culturally proficient leadership than observed practices of culturally proficient leadership. As mentioned, another salient indicator is the differences in preservice principals' perceived and observed aspects of culturally proficient leadership. For example, the preservice principals equated valuing diversity with creating a climate that has high academic expectations for all students; providing instruction that addresses the background of diverse students; ensuring that school policies are sensitive to the cultural makeup of the school; and making decisions that are inclusive of diverse perspectives. Based on their perceptions, principals' interpretation of the value of diversity are using language in documents and statements that acknowledge cultural diversity of students; creating a climate that has high academic expectations for all students; and providing instruction that addresses the background of diverse students. This example shows that creating a climate that has high academic expectations for all students is the only common highly emphasized practice between the preservice principals' perceptions of and observations of valuing diversity. In addition, this study revealed a higher mean score for the preservice principals' perceptions than their observations of this practice. Overall, preservice principals perceived an informal emphasis on valuing diversity. However, they observed their principals demonstrating formal practices of this same element.

Such differences are indicative of several influences. First, the outcomes of this research are based on the perceptions of preservice principals. The second factor is that the preservice principals are still teachers. They are responsible for an average class of 30 students. They have never led a school with 300 students and teachers. As such, they may have a myopic view of school leadership. In other words, they may not understand a leadership-driven perspective of culturally proficient school leadership.

They may lack the administrative disposition for understanding the significance of using warranted instead of desired leadership practices of cultural proficiency. Consequently, they presumably have a partial understanding of the differences between their perceptions of and observations of culturally proficient leadership. Finally, the participants may not realize how some school issues require a demonstration of more practices of some elements than of other elements of culturally proficient leadership.

IMPLICATIONS

This study bears two important implications. First, the participants of this study should talk to their principals about their perceptions and observations of culturally proficient leadership. This implication is attributed to the differences between mean scores and ranking of the most important and frequently used culturally proficient leadership practices. (see Appendix A). Preservice principals should ask their principals about the rationale for using more culturally proficient leadership practices than other culturally proficient leadership practices

For example, the study findings showed that the principals were perceived as not placing high emphasis on inclusiveness or adapting to diversity. Therefore, the preservice principals could ask their principals to explain the rationale of a lack of emphasis on these elements of

culturally proficient school leadership. The benefits of these discussions are twofold. First, preservice principals could learn about the factors that may cause their principals to place more emphasis on other culturally proficient leadership practices than adapting to diversity. Second, the principals would become more aware of how their leadership is perceived by other stakeholders-particular, those stakeholders who aspire to pursue the principalship. Overall, preservice principals and their principals could use these discussions to develop a common vision for interpreting culturally proficient leadership in their schools.

The second implication is for the participants' preservice principal programs to provide them with a course on culturally proficient leadership. One reason is that the principals may lack or refuse to make the time to discuss their culturally proficient leadership practices with the preservice principals. In such cases, the preservice principals may lack a school leader's perspectives on the fundamentals of culturally proficient school leadership.

The second reason is that preservice principal programs are obligated to provide preservice principals with experiences that will prepare them for the principalship. As mentioned, today's principals must be culturally proficient school leaders. Therefore, preservice principal programs must prepare them for this role through a variety of culturally diverse leadership activities. For example, instructors could use race, gender, current events, and other culturally diverse characteristics to provide preservice principals with a theoretical perspective on culturally proficient school leadership. From a practical perspective, the preservice principals could engage in class and group discussions on their experiences in culturally proficient or culturally deficient schools. In addition, they could engage in simulations and problem-based learning situations on societal issues that impact schools. As another example, instructors could ask practicing principals to inform the preservice principals of their experiences with modeling culturally proficient leadership. These implications may not immediately prepare preservice principals for providing schools with culturally proficient school leadership. But they could serve as a conceptual framework for reflecting on how to demonstrate this style of leadership.

FUTURE RESEARCH DIRECTIONS

This study bears several noteworthy directions for future research. The first recommendation is to replicate this study with larger populations of preservice principals from other states and regions. The reason is that a larger population could either add a supportive or contrasting view of the findings from this study. A second research direction is to conduct a comparative analysis of preservice principals' and their principals' perceptions of the most important culturally proficient leadership practices. An additional purpose should be to compare the groups' perceptions on the frequency of the principals' uses of culturally proficient school leadership. Smith's (2004) study compared principals' perceptions of and frequency with using culturally proficient leadership practices. This research extended that body of knowledge by repeating the same process with preservice principals. If research includes both populations in one study, the findings could increase the reliability and validity of Smith's and this research.

Third, research needs to examine racial differences in preservice principals' perceptions of the importance of and the frequency of their principals' uses of culturally proficient leadership practices. In effect, race influences teachers' perceptions of their teaching experiences (Bell, Jones, & Madsen, 2001; Morgan-Brown, 2004). Because of the racial implications of culturally proficiency, research should determine how this variable influences aspiring principals' perceptions of culturally proficient school leadership. The findings could be used

to develop strategies for tailoring school leadership to the ethnic uniqueness of teachers and aspiring principals.

Similarly, research should examine the influence of the principal's leadership style on preservice principals' perceptions of culturally proficient leadership. Decades of research have documented the impact of the principal's leadership style on school culture and personnel (Adams, 1999; Bass & Avolio, 1997; Burns, 2002; Deal & Peterson, 1999). In his seminal research, Hines (2007) showed that the principal's leadership style affects preservice principals' concerns about becoming a principal. Though empirically unproven, the outcome of this study may be somewhat indicative of the leadership styles of the preservice principals' principals. A study of this possible relationship could support or refute this hypothesis.

The final research recommendation is to conduct longitudinal research on preservice principals' perceptions of culturally proficient leadership. The cross sectional aspects of this research prevent the researcher from fully confirming the outcomes of this study. By evaluating a group of preservice principals' perceptions over time, researchers could develop a stable picture of their perceptions of culturally proficient school leadership. These findings could then be used to make long-term recommendations for preparing the preservice principals to demonstrate culturally proficient leadership in schools.

CONCLUSIONS

Culturally proficient leadership is defined as the ability to create school environments that facilitate and acknowledges the cultural diversity of students and teachers. According to Lindsey et al. (2005), principals achieve this goal by engaging all stakeholders in valuing diversity, assessing the culture, managing the dynamics of differences, institutionalizing cultural knowledge and resources, adapting to diversity, and inclusiveness.

This study highlighted preservice principals' perceptions of the important aspects of and their principals' uses of these elements. The findings showed similarities and differences between the preservice principals' perceptions of and observations of culturally proficient school leadership. The most notable finding is that the preservice principals' perceptions of some elements of culturally proficient leadership did not match observations of their principals' uses of this style of leadership.

The recommendations are twofold. First, the preservice principals and their principals should discuss the differences in perceptions of and observations of culturally proficient leadership. Second, preservice principal programs should train the preservice principals on how to demonstrate this style of leadership in schools. These recommendations could increase preservice principals' understanding of how to serve as culturally proficient school leaders.

LIMITATIONS

This study consisted of three limitations. One limitation is the small sample size. A second limitation is that the population was located in one region. Therefore, the findings can only be generalized to similar populations of preservice principals. In addition, those preservice principals must work in similar Texas regions. The third limitation is that the researcher did not control for the participants' years of experience with their principals. Research has shown that teachers' perceptions of their principals are influenced by their years of experience with the principals (Morgan-Brown, 2004). Thus, some of the participants may not have spent enough time with their principals to evaluate their culturally proficient leadership accurately.

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APPENDIX A

Table 1. Comparison Between the Most Important and Frequently Used Culturally Proficient School Leadership Practices.

Practices Perceived Most Important			Frequently Used Practices		
Practice	Element	Mean	Practice	Element	Mean (SD)
1. Creating a climate that has high academic expectations for all students.	Valuing	4.96 (1.01)	1. Designating funding and human resources to address issues that relate to cultural diversity.	Managing	3.34 (0.34)
2. Creating a school environment that	Adapting	4.82 (1.01)	2. Exposing faculty to staff development	Institutionalizing	3.29 (1.03)

inspires students and teachers to acknowledge other cultures while retaining the uniqueness of their ethnic identity.			on addressing diverse student populations.		
3. Connecting students and staff to external organizations and resources that represent cultural diversity.	Inclusiveness	4.79 (1.01)	3. Handling formalities to ensure that faculty and visitors are welcome to the school.	Assessing	3.22 (0.89)
4. Encouraging staff to obtain certification in specifically designed academic instruction.	Assessing	4.76 (0.44)	4. Disseminating demographic information to enhance faculty members' awareness of the relevance of cultural diversity.	Assessing	3.01 (1.11)
5. Exposing faculty to staff development on addressing diverse student populations.	Institutionalizing	4.62 (0.79)	5. Using language in documents and statements that acknowledge cultural diversity of	Valuing	2.98 (1.14)

			students.		
6. Creating academic intervention programs that meet the needs of diverse students.	Assessing	4.57 (0.88)	6. Creating a climate that has high academic expectations for all students.	Valuing	2.86 (1.48)
7. Providing instruction that addresses the background of diverse students.	Valuing	4.46 (0.40)	7. Encouraging staff to obtain certification in specifically designed academic instruction.	Assessing	2.81 (1.06)
8. Providing inclusive environment that acknowledges the diversity of students.	Inclusiveness	4.39 (1.02)	8. Making provisions for teachers to receive training on making curriculum modifications in accordance to the cultural and linguistic makeup of students.	Institutional izing	2.76 (1.26)
9. Ensuring that school	Valuing	4.23	9. Creating	Assessing	2.75

policies are sensitive are sensitive to the cultural makeup of the school.		(1.24)	academic intervention programs that meet the needs of diverse students.		(1.12)
10. Making decisions that are inclusive of diverse perspectives.	Valuing	4.19 (1.11)	10. Providing instruction that addresses the background of diverse students.	Valuing	2.73 (0.84)

APPENDIX B

Culturally Proficient School Leadership Scale

Directions: Please use the “Importance” scale to rate the importance of each culturally proficient school leadership practice. Then use the “Frequency” scale to rate your principals’ frequency with using these culturally proficient leadership practices in your school.

Importance Scale

- 1=Not an important practice of culturally proficient school leadership
- 2= Not really an important practice of culturally proficient school leadership
- 3= A somewhat important practice of culturally proficient school leadership
- 4= An important practice of culturally proficient school leadership
- 5=A very important practice of culturally proficient school leadership

Frequency scale

- 1=My principal never uses this culturally proficient leadership practice.
- 2=My principal rarely uses this culturally proficient leadership practice.
- 3=My principals sometimes uses this culturally proficient leadership practice.
- 4=My principal frequently uses this culturally proficient leadership practice.
- 5=My principal always uses this culturally proficient leadership practice.

Table 2. Culturally Proficient School Leadership Scale

Importance Scale	Practice	Frequency Scale
1 2 3 4 5	1. Designating funding and human resources to address issues that relate to cultural diversity.	1 2 3 4 5
1 2 3 4 5	2. Exposing faculty to staff development on addressing diverse student populations.	1 2 3 4 5
1 2 3 4 5	3. Handling formalities to ensure that faculty and visitors are welcome to the school.	1 2 3 4 5
1 2 3 4 5	4. Disseminating demographic information to enhance faculty members' awareness of the relevance of cultural diversity.	1 2 3 4 5
1 2 3 4 5	5. Using language in documents and statements that acknowledge cultural diversity of students.	1 2 3 4 5
1 2 3 4 5	6. Creating a climate that has high academic expectations for all students.	1 2 3 4 5
1 2 3 4 5	7. Encouraging staff to obtain certification in specifically designed academic instruction.	1 2 3 4 5
1 2 3 4 5	8. Making provisions for teachers to receive training on making curriculum modifications in accordance to the cultural and linguistic makeup of students.	1 2 3 4 5
1 2 3 4 5	9. Creating academic intervention programs that meet the needs of diverse students.	1 2 3 4 5
1 2 3 4 5	10. Providing instruction that addresses the background of diverse students.	1 2 3 4 5
1 2 3 4 5	11. Providing inclusive environment that acknowledges the diversity of students.	1 2 3 4 5
1 2 3 4 5	12. Ensuring that school policies are sensitive to the cultural makeup of the school.	1 2 3 4 5
1 2 3 4 5	13. Making decisions that are inclusive of diverse perspectives.	1 2 3 4 5
1 2 3 4 5	14. Providing faculty and staff members with conflict resolution training.	1 2 3 4 5
1 2 3 4 5	15. Ensuring that all groups of students and teachers are aware of how their cultural norms and behaviors influence the climate of the school.	1 2 3 4 5
1 2 3 4 5	16. Communicating ability to function effectively in cross cultural situations.	1 2 3 4 5
1 2 3 4 5	17. Evaluating faculty members' ability to display culturally proficient behaviors.	1 2 3 4 5
1 2 3 4 5	18. Maintaining school activities conducive to effectively working with and learning in cross cultural situations.	1 2 3 4 5

1 2 3 4 5	19. Accessing barriers to core curriculum for culturally diverse students.	1 2 3 4 5
1 2 3 4 5	20. Showing sensitivity to cultural differences during performance evaluations of faculty members.	1 2 3 4 5
1 2 3 4 5	21. Developing complaint resolution processes that have been communicated to parents.	1 2 3 4 5
1 2 3 4 5	22. Evaluating the extent to which curricular and institutional practices address the linguistic and cultural differences of students.	1 2 3 4 5
1 2 3 4 5	23. Organizing diverse members into interview panels for hiring new faculty/staff members.	1 2 3 4 5
1 2 3 4 5	24. Developing programs with opportunities for consultation with a diverse parent group.	1 2 3 4 5
1 2 3 4 5	25. Developing policies with stakeholders who represent the cultural makeup of students.	1 2 3 4 5
1 2 3 4 5	26. Creating a school environment that inspires students and teachers to acknowledge other cultures while retaining the uniqueness of their ethnic identity.	1 2 3 4 5
1 2 3 4 5	27. Ensuring that extracurricular activities are inclusive of community members are from ethnic groups.	1 2 3 4 5
1 2 3 4 5	28. Accommodating diverse cultural norms that may exist in the school.	1 2 3 4 5
1 2 3 4 5	29. Creating school activities that appeal to demographically mixed groups of students.	1 2 3 4 5
1 2 3 4 5	30. Providing training that develops faculty and staff members' confidence to function in cross cultural situations.	1 2 3 4 5
1 2 3 4 5	31. Providing leadership in creating policy statements that are inclusive of diversity.	1 2 3 4 5
1 2 3 4 5	32. Creating conflict resolution services for students.	1 2 3 4 5
1 2 3 4 5	33. Ensuring that school policies promote and advocate for culturally proficient behaviors among faculty and staff members.	1 2 3 4 5
1 2 3 4 5	34. Establishing diverse advisory groups.	1 2 3 4 5
1 2 3 4 5	35. Connecting students and staff to external organizations and resources that represent cultural diversity.	1 2 3 4 5

Research with Women School Superintendents: Implications for Teaching Future School Leaders

Susan J. Katz

The underrepresentation of women in the superintendent's position is a problem needing attention from the education leadership community. Future school leaders need to know that leadership is inclusive of all voices and perspectives from their training programs to their schoolhouses. This paper presents findings from two major studies with women superintendents from the framework of their perspectives on leadership and power, leading for social justice, and general talk about their positions with advice to aspiring women. Based on results of the research and related literature, the author's ultimate purpose is to make a strong call for education leadership professors to include voices of women leaders when teaching candidates. The overarching framework for thinking about the inclusion of women leaders' perspectives when designing coursework in education leadership programs is feminist standpoint theory.

INTRODUCTION

The main purpose of this paper is to call for professors in education leadership programs to include women leaders' voices when designing coursework for future school leader candidates. Beginning with a summary of the related literature that describes some problems contributing to the underrepresentation of women in the superintendency, paradoxical situations are posed around this problem, such as the normal pathway to the superintendency for women and increased numbers of women in the pipeline. The section continues with a brief description of barriers for women accessing the superintendency. Next, feminist standpoint theory is described in context as the overarching framework that professors in educational leadership programs can look toward when teaching both men and women and when mentoring women into school leader positions. The paper continues with a description of the two research studies conducted with women superintendents. One was a mixed method study to understand women's perceptions of leadership and power, and the other was a qualitative study designed to learn how women support and promote social justice in their school districts. Evidence from these studies revealed that women have definite ways to talk about how they are faring in their positions as superintendents and offer advice to aspiring women. Implications are offered for teaching and mentoring future leaders through the inclusion of women's voices in course planning and issues for mentoring. The paper ends with a call for action.

WOMEN IN THE SUPERINTENDENCY

Since the creation of the public school superintendency in the United States in the mid 1800s, few women have held this public leadership position. Most studies before 1998 reported that males constituted more than 90 % of all superintendent positions. Recent figures

(and the largest numbers to date) find 18% women superintendents across the U.S. (Brunner & Grogan, 2007). The question of why there are so few women in the superintendency becomes puzzling when one considers three paradoxical situations. One situation has to do with the pathway toward the position of superintendent. Glass (1992) found that a typical pathway for women to the superintendency is from the position of teacher, and then to principal, to central office position, to superintendent. Since the position of teacher is the first position held in that pathway and since women comprise approximately 75% of all teachers (Bell & Chase, 1993), one would expect women to hold more leadership positions in schools than they currently do.

The second paradoxical situation has to do with increased numbers of women in graduate education leadership programs. Research (Grogan, 1996, Gupton & Slick, 1995) has shown that while men have historically dominated the field of education administration, there has been an increase in female enrollment in graduate programs in education administration. In school administration programs, the percentage of female students now outnumbers males. A 1997 survey of member institutions in the University Council for Educational Administration (UCEA) showed that 74% of certification programs in institutions responding to the survey had from 51 to 72% women (Logan, 1998). Results from this survey correspond to other research that shows women entering education programs in increasing numbers since the 1970s (Grogan, 1996).

The third situation exists because there are more women in the pipeline for the superintendency as increasing numbers of women are moving into more central office positions and school principalships. Hodgkinson and Montenegro (1999) found that women occupied 33 % of assistant, associate, deputy, or area superintendent positions. At 57%, representation of women in central office administration (such as curriculum directors and supervisors of special programs) surpasses that of men. In the principalship, women represent 20% at the secondary school level (still low in number) but 53% women reportedly are elementary school principals (Hodgkinson & Montenegro, 1999).

Barriers exist for women entering the superintendency. One barrier cited in the literature is the lack of role models for women and is believed to be part of the reason more women do not get into the superintendency (Brunner, 1998b). Researchers suggest that another barrier occurs when leadership is approached from a male perspective (Brunner, 1998a; Shakeshaft, 1989; Wesson & Grady, 1994a). Shakeshaft (1989) explained that educational theories developed from a male-centered or androcentric framework are a result of imbalanced and inaccurate research and are not representative of the female paradigm. Campbell (1996) stated that “narrow definitions of leadership based on male models or theories need to be expanded to include women’s values, beliefs, and experiences” (p. 9).

FRAMEWORK AND PERSPECTIVE

In this section, I address why feminist standpoint theory is used as an overarching theoretical framework for thinking about the inclusion of women leaders’ perspectives when designing coursework in education leadership programs. Standpoint theory, emerging from feminist critical theory in the 1970s and 1980s has been proposed as an explanation as to why women are a marginalized group but also as a methodology to guide future feminist research. As a critical theory, it delves into relations between the production of knowledge and practices of power. Feminist standpoint theory has been used as a framework for empowering oppressed groups to value their experiences. Giving these groups recognition and voice can be an important source of critical insight (Harding, 2004). Feminist standpoint theorists claim

that there are important things to learn from taking seriously the perspectives of all marginalized groups. Starting from their predicaments, knowledge drawn from these marginalized groups will be richer than one particular knowledge that draws only on the insights of privileged groups alone (Harding cited in Anderson, 2007). “Views of the social world generated from the perspective of dominant interests are not false, but *partial*. The marginalized have contact with *different* aspects of social reality, aspects that are more revealing of the ways the status quo is unjust” (Hartsock cited in Anderson, 2007, para 20).

Women superintendents reveal different aspects of social reality—aspects we need to hear, view as important, and rely upon. As professors of education leadership programs, we must include women’s voices as examples in discussion about leadership. If we do this, we work to dispel the myth that if women are not in the position as superintendents, they must not be able to do the job. If women are disinclined to pursue the superintendency, this reluctance to aspire to the role could result from many issues. Among the issues are: the lack of role models (Brunner, 1998), external and internal barriers that are gender-related (Brunner, 1998a, 1998b; Shakeshaft, 1989; Wesson & Grady, 1994), and educational theories that have developed from an androcentric (male-dominated) framework and are not representative of the female paradigm (Shakeshaft, 1989). According to Brunner (2000), women have a real challenge when they take on a role that is so heavily masculinized and to make it in the role, a woman has to be very good.

STUDYING WOMEN SUPERINTENDENTS

Leadership and Power

Skrla and colleagues (2000) stressed the need for more studies of women superintendents when they called for “. . . the conversation among and about women superintendents to increase in numbers, to widen in scope, and to escalate in volume so that neither the women themselves nor the education profession in general continue to remain silent” (p. 71). In the academic year 1999-2000, I conducted mixed method research with women who were practicing school superintendents in four Midwestern states, $n = 210$. The purpose of the research was to generally add to the existing body of literature particularly looking at women’s work lives as superintendents through an investigation of their leadership practices and uses of power (Katz, 2004, 2006).

Quantitative research questions asked whether or not there were differences in how women perceived their leadership practices and uses of power based on age, years of experience, and the size and structure of their school districts. Surveys sent consisted of demographic questions and two published inventories: the Leadership Practices Inventory-Self (Kouzes & Posner, 1995) and Your Sources of Influence (Rosner, 1990) which asked questions regarding how those in powerful roles perceived their sources of influence (power). In-depth interviews were conducted with nine women who were practicing in the four states. Results from both quantitative and qualitative analyses found significant differences in how women perceived their leadership practices and how they perceived their uses of power.

All 210 women who were practicing superintendents in four Midwestern states (as listed on state lists) were invited to participate in the study. Fourteen women superintendents had left their positions, which reduced the population for the study to 196 women superintendents among the four states. From that population, 76% ($n = 148$) returned usable surveys. Of the 148 surveys used in the data analysis, 65% of the participants were between the ages of 50 and 56. The mean age of the participants was 52 years with a range in age from 38 to 65

years. Sixty-six percent of the participants held earned doctorates. In response to a question regarding length of time taken to achieve the first superintendency, almost 50% indicated that it took less than one year after gaining certification. Almost 95% of the participants indicated that they were European-American. Just over 85% of respondents reported being married. Analysis of the demographic data enabled the creation of a profile of a woman superintendent practicing in the Midwest during the school year, 1999-2000. Table 1 displays the data concerning this profile.

Table 1. Profile of Participants, Female Superintendent Study.

Variables	N	M	SD	Minimum	Maximum
Age	148	51.99	4.62	38	65
Age at first superintendency	148	45.70	5.67	30	59
Years in present position	148	5.40	3.76	1	20
Years teaching prior to administration	147	10.58	4.97	0	29
Administrative positions before superintendency	148	2.90	2.43	0	8
Superintendent jobs applied for before 1 st job	148	1.47	2.48	0	15
School buildings	148	6.26	8.71	1	78
Building administrators	148	9.65	12.11	1	78

The nine interview participants varied in age, years of experience and worked in different size districts from a district enrolling 100 students to a district with an enrollment of 23,000 students. Eight women were European American and one was African American. The participants represented a wide range of both demographic and geographic locations among the four Midwestern states of Illinois, Indiana, Wisconsin, and Michigan. The data were collected through the use of an interview guide containing structured questions and other questions that might arise during the interview. Opportunities for clarification were presented during the interviews. For example, at the conclusion of the interviews, women were asked if there were any other questions they would ask if conducting the interview and if they had anything to add. Most of the women responded that they thought many of the leadership issues they deal with on an ongoing basis were covered. They also stated that they would like to know the results of the research. The interviews were audio taped and transcribed fully to facilitate the use of the constant comparative method (Glaser & Strauss, 1967) to identify common themes and concepts (Rubin & Rubin, 1995). I used a conceptual matrix (Miles & Huberman, 1994) to help visualize and code the data. The matrix allowed me to look at specific chunks or phrases from the interview data specific to each participant and then by using the constant comparative method, the themes became evident.

I asked questions about leadership and power. Additional questions asked about types of barriers that might have been factors in deciding to apply for the position and if there were barriers that created problems in their roles as superintendents. Other interview questions

asked if they believed whether or not men and women lead differently, would they pursue this same career path again, and what advice would they give to women aspiring to the position.

The women were successful with different patterns of a couple of the same leadership practices. Although women in large districts perceived themselves to be using Challenging the Process and Inspiring a Shared Vision (Kouzes & Posner, 1995) when responding to the survey, all the women who were interviewed used those practices in different ways. Women leading larger districts talked of involving stakeholders, shared decision making, and taking risks regarding personnel. Women leading small districts talked of involving community in bond issues for facility funding, programming issues, and taking risks regarding programs.

The women interviewed were not all cut from the same cloth; however they had certain things in common. They all talked about the importance of the leader maintaining high standards as they served as role models for staff, students, school board, and community members. Some of the women modeled their beliefs in championing the value of diversity, while others modeled behaviors they want followers to emulate, i.e., dignity and respect. All of the women talked about building relationships in some way, whether those relationships were at the level of students and teachers, or at the level of a cabinet staff. Building relationships was a repeated theme in many of the answers to the interview questions.

Many of the responses to the question about defining power and influencing others emphasized referent power, using relationship to influence others. Several women mentioned the importance of “making things happen through the connection with people,” “getting people to believe,” and “moving the system forward based on relationships.” One woman mentioned that her approachability was an effective way to influence others. She said that people know she is approachable and they know she keeps an open door policy. Another participant said she believed that she used referent power to influence others and was told so by one of her assistant superintendents. Gilligan (1982) believed women’s sense of integrity is involved in an ethic of caring as women see themselves in a relationship of connection and in the activity of caring for others. Thus, women equate power with giving and care.

Supporting and Promoting Social Justice

One purpose of this study was to understand how women superintendents support and promote social justice and democratic community in their school districts (Katz, in press). I was also interested in exploring what practices the women engaged in that contribute toward social justice leadership. Looking through the lens of feminist standpoint theory, since women in the superintendency are underrepresented in the role, women superintendents might have “different aspects of social reality” (Hartsock cited in Anderson, 2007, para 20). Questions that related to this study were: What social justice issues do women superintendents identify as problems in their school districts? What are the problems and issues women superintendents face in working toward social justice? What centers or grounds these leaders? What are their worldviews? How do background and life experiences contribute to successful leadership practices for social justice? Additionally, I wanted to find out how these women defined social justice, what practices of internal and external stakeholders fit or did not fit with their definitions of social justice, and how they individually took and worked with staff to take responsibility for creating socially just educational environments for all their students.

To select participants, I looked at a state listing that gave names of districts, superintendents’ names, and contact information. This listing allowed access to a profile of all public school district descriptive data on the state website. I was interested in finding women who led districts using three differing sets of criteria: the student population in the district was

diverse, and achievement scores were below the state average for disaggregated groups; the student population in the district was diverse and scores across all disaggregated groups were at or above the state average; the district had mostly students of color and the majority of the district's teachers were White (which is not unusual in most districts). Six women superintendents practicing in school districts in a Midwestern state, mostly concentrated in a major urban area, agreed to participate in the study. Three were African American, one was American Indian, and two women were White (one grew up poor and the other's educational career began as a teacher of the visually impaired).

Each of the six women was interviewed twice. Interviews lasted from one to two hours, were audio-taped, and transcribed verbatim. Data came from the interview transcripts, field notes, and a personal journal. Before the first interview, the interview guide was sent to each participant. When interviewing one of the women for the first time it was obvious that she wanted to talk about the issues. In fact, when I initially called her to ask if she would be a participant, she said she was very busy but that due to the issues raised in the interview guide, she would participate. Transcripts of the interviews were sent via email attachment to each of the participants after each interview for member checking. A couple of the women commented that they enjoyed reading the transcripts from the first interview. One woman seemed very excited after reading her transcript as she said that she felt good to be able to "put into words" how she felt about the issues of social justice in her district.

As I began to read through the texts of interview transcripts, field notes, and my reflective journal, I realized that all six of the women in this study were making significant efforts and inroads to engage their communities toward the work of social justice. Because of these themes coming from the transcripts about community, I used Gail Furman's work (2002, 2003) on community-building to ground the data analysis.

In article, *Moral Leadership and the Ethic of Community*, Furman (2003) claimed that leadership practice for social justice must be grounded in community. ". . . an ethic of community centers the community over the individual as moral agent—it shifts the locus of moral agency to the community as a whole" (p. 4). She said that educational leaders who work toward establishing the process of community in their districts should ground their work "first and foremost in interpersonal and group skills, such as listening with respect, striving for knowing and understanding others, communicating effectively, working in teams, engaging in ongoing dialogue and creating forums that allow all voices to be heard" (p. 4). All those involved in school communities, according to Furman, must develop these kinds of "communal skills and practices" (p. 4).

As the women participants defined what social justice meant to them specifically and what that definition meant for the districts they served, they drew from their backgrounds and experience in their roles as leaders, current contexts, and looked toward the future. I categorized each woman's definition of social justice into the following themes: *no glass ceiling*, *individuality and common good*, *understanding and confronting privilege*, *equitable funding*, *the opposite of injustice*, and *growing the future*.

No glass ceiling means "allowing everybody equal access and taking a stand when you see that equal access is not readily available" (Karen, interview, 2005). *Individuality and common good* to one participant means "taking the interest of a single individual to be successful, whatever that success is defined by them." And then providing "an environment that is conducive to all, the common good of mankind" (Fay, interview, 2005). One participant leads a wealthy suburban school district and is mindful that her staff and students need to *understand and confront privilege*. She told me that the adults "work very hard to help their children realize that this [school district] is maybe not a good reflection of the world"

(Carmen, interview, 2005). One woman concerned about *equitable funding* attended a lobby day at the statehouse and she said, “. . . the way we fund education in this state [is wrong]; when we talk about social justice we are talking about fairness and what is right. It is not right to give to the haves and not to the have nots” (Corwin, interview, 2005). For one participant, social justice meant the *opposite of injustice*. She spoke about “human rights, human needs, fairness, meeting the needs of all, having equal access, equal opportunity, and a sense of group as opposed to individuals or clusters” (Tina, interview, 2005). *Growing the future* for one woman meant that “we need to provide the best we can for students living in a diverse world – since they will be responsible for our retirement and old age” (Delia, interview, 2005). The women participants used their “interpersonal and group skills” (Furman, 2003, p. 4) to work toward establishing the ethic of community by *listening with respect, knowing and understanding others, communicating effectively, and creating a forum for all voices to be heard*.

Collectively, I saw that these six women were “easy” with defining social justice and discussing issues in their districts that were troubling to them. One woman needed to reschedule interview appointments a couple of times but made sure that we could reschedule because as she said, “I want to do this; I have a passion for this.” Maybe they were *easy* with this talk because as women seeking a position they did not have *easy* access to, they gained personal knowledge about being the “other” and thus could relate to students and families who have diverse status. Consistent with feminist standpoint theory, these women could “see” how groups were oppressed since they have not been privileged as women in gaining access to the superintendency.

Women in this study also easily talked about what centers them as they carry on their work. All six made a connection from their personal and professional history to how they proceeded with their work toward social justice. These women connected their vision for change with their personal stories and school district context. Although the districts varied by size, student population, and geographical area, all of the women had specific goals related to their vision for social justice.

Several women talked about the benefits of participating in this type of research. It allowed them to reflect on issues of social justice in their districts and what they had accomplished in dealing with these issues as leaders. Not only can we learn in general how women are progressing in the superintendency from this type of research, but specifically, we learn that this study’s participants have enjoyed the opportunity to reflect on the concepts of social justice for students, staff, and families in their schools. Several women talked about how their participation in the study has helped them reflect and question themselves about social justice issues. Drawing from this particular finding, we learn that it is good and absolutely necessary to create spaces to reflect on and to talk about social justice in schools.

TALKING ABOUT THE JOB

Succeeding in the Role

Findings from the interviews of both studies revealed that women have ways to talk about how they have succeeded in their roles as superintendents. Women view relational leadership as a key component of their leadership style. Women work to establish a process of community by creating forums that allow all voices to be heard when they strived to know and understand the diverse groups of gender, race, ethnicity, class, sexual orientation, and ability represented in their districts. Women talked about hiring practices: hiring principals are

crucial to the districts' success, hiring a team of heterogeneous people capitalizes on different interests and abilities, and hiring people who are loyal is a must. Women talked about the qualities that a leader must have: integrity, character, strong values. Leaders must be logical thinkers, and risk takers and relentless in pursuit of their goals, all the while showing compassion for others. Examples of risk taking that women reported were the following: hiring a multicultural facilitator in a district that faced a civil rights lawsuit and "did not want to hear the term *multicultural*" (Interview, 2000), reapplying for a superintendency in one of the poorest districts in the state, and immediately taking on the school board initiatives for reorganization when hired as the first woman superintendent in the district. Women talked about strategies they used to challenge the system, moving people out of their comfort level to learn about and implement new programs that have appeal and efficacy for all students. Several women were hired to specifically reorganize their districts. The women were cautious in their efforts to initiate and effect change, preferring to build relationships first, helping the school community get to know them and what they were about, and assuring staff that they were in a safe, protective environment so they would be willing to take the risks needed to change education practices and programs.

One finding and consistent with what the literature has revealed was that women had some hesitation when asked to define and conceptualize power. Women who hold the position have difficulty talking about power (Brunner, 2000). Many participants in the mixed method research investigating women's perceptions of leadership practices and power had not thought of power as a reality in their work. Once they did began to reflect on interview questions asking about power, women said that the position did not grant them power; rather, they gained power by sharing it or giving it away – having power *with* people rather than *over* people. "I believe that when you have power with people, then you are able to accomplish your goals in a much more effective and rewarding way" (Interview, 2000). Researchers have pointed out that because women have different socialization patterns than do men; they have different experiences of power (Gilligan, 1982; Helgesen, 1995; Estrich, 2000). Power in a direct form can be threatening to women; since power is a contradiction in both personal and social terms (Gilligan, 1982).

Advice to Aspiring Women

When giving direct advice to aspiring women, participants in my research were very intent on encouraging women to go after the position. Encouragement came in very direct forms, such as: just do it, apply for the job, and don't be afraid because it's not that hard. The quote below illustrates how one woman encouraged aspiring women to take the risk believing strongly that the job itself could be managed by women.

Don't be afraid because it's not that hard, the day to day operations of it. It's not some secret club. It's hard work but it's not like a big puzzle that you have to figure out. It is logical thinking and accountability and being responsible and digging out the answers and helping each other. I would encourage them to go for it. I think we have a lot to offer (Interview, 2000).

One woman gave advice from her standpoint that women are naturally situated to manage due to family responsibilities, women's teaching experiences and roles in curriculum and instruction, and women's leadership styles. She elaborated on these points by saying:

I would tell women to do it. It's not that difficult a job as it is perceived to be and women are extremely capable managing and leading a school district. For two reasons: most women or all the women in my family, and I can only speak to my experiences, generally lead and manage their households and their families and do a very good job with it and it's not that different when you are leading a school district. Women tend to have more direct knowledge about curriculum and instruction and understand leadership, collaboration, understand how to work with teams and they tend not to have an authoritarian approach to leadership. They don't feel they have to have their leadership or position validated by some act or the other. So they don't need people to reinforce where they are because generally women who find themselves in the superintendent's position have a pretty good idea about who they are (Interview, 2000).

Encouragement also came in the form of discussions related to what these women do in their roles and in answers to questions such as: What has been your most significant contribution as superintendent? All nine women talked about how they could effect change in a much more global nature in the superintendency than when they were teachers, assistant principals, principals, and even in central office positions. They traced their influence (effecting change) from teaching a class of students to leading a district and influencing hundreds of students (varying by size of the district) but also having the opportunity to influence both internal and external stakeholders in their school communities. One woman pointed out that she increased collaboration among her staff as they told her before she became the superintendent, that they "never really sat down and talked to each other about this kind of stuff before and its fun and it feels good . . ." and due to her influence ". . . the conversation between the staff has increased, has grown, has developed, has emerged" (Interview, 2000).

Among the ideas to encourage aspiring women was talk about what was needed to be successful in the role. Dedication was a theme as women discussed establishing credibility as a leader with advice such as, "coming up through the ranks helps," and also, "remain centered and focused in your work." One woman talked about being the only woman superintendent among 12 men when the regional group met. She had to establish credibility "among the men."

When I entered [name] county I was the only woman at the table of twelve for two years and it was a little unnerving the first few times because everything was 'you guys' and 'gentlemen.' And they would look at me and say, 'oh, [name]' and I was like, 'whatever, you'll get used to me, I'm here to stay.' And you build your own credibility with them (Interview, 2000).

Several women gave advice and encouragement to aspiring women through their talk about knowing yourself, knowing what centers you, and knowing why you want the job. When giving women tips in seeking equal access and treatment in education administration, Wesson (1998) stated that continual self-assessment must be the process to understand one's strengths and abilities, interests, and talents.

Results of the research shows women superintendents feeling comfortable and really enjoying themselves in their leadership roles, comfortable enough to give honest and straightforward advice to those aspiring women. It also shows that they enjoy their positions so much that they wished they had pursued the superintendency earlier in their career path and

that they “absolutely” would pursue the same path if they had it to do all over again. One of the women in the mixed method study was 56 years old and in her first year as a superintendent. When asked the question about what advice she would give to aspiring women, she had lots to say:

I would encourage them to do so. I really enjoy it and wish I had done it sooner. I really do. It's just really fun and I can effect more change at this level. The places that I can effect change are the places that I enjoy. Working with the community and working with the board [are parts of the job] I've really enjoyed. And so I most definitely would do it again (Interview, 2000).

IMPLICATIONS FOR TEACHING FUTURE LEADERS

Including Women's Voices

Reports of this type of research can be used by professors in education leadership programs to acquaint their students with firsthand accounts of how women are leading their districts and how they describe their work lives in the top job in education. Researchers (Bjork & Adams-Rodgers, 1999, Grogan, 1996) have concluded that women in the superintendency provide irrefutable evidence that they are able to perform tasks required of anyone in the role and furnish important role models that are so necessary for those aspiring to the position. Brunner (1998) believed one benefit of research about women superintendents is to dispel a myth that since many women weren't in the position, they weren't able to fulfill the responsibilities required of the position. Shakeshaft (1989) advocated for research which included the female perspective and also stressed the need for studying gender and organizations. If men and women are to learn and work as equals in schools, gender differences must be considered. Adult educators, from potential mentors to superintendents to professors in education leadership preparation programs, must be aware of gender differences in order to appreciate and to provide appropriately for the learning and leadership styles of both men and women.

The reliance in education leadership programs on theories of leadership developed by men and from the framework of the white, male, heterosexual is problematic and is not indicative of women and members of other groups leading schools. Wilson (2004) advocated for a redefinition of culturally accepted definitions and perceptions of leadership. Professors of education leadership need to be aware that other leadership theories have been developed that are inclusive of women and other groups. For example, the synergistic leadership theory developed by Irby, Brown, Duffy, and Trautman (2001) provides an alternative to the traditionalist leadership theories that have been criticized as androcentric (male-centered). Synergistic leadership theory is inclusive of female perspectives, but applicable to both male and female leaders. The theory is relational and interactive and was developed as a useful framework based upon a model with the following four key factors for building and understanding interdependent relationships: (a) leadership behavior, (b) organizational structure, (c) external forces, and (d) attitudes, values, and beliefs.

Mentoring Issues

Professors in education leadership programs need to be aware of issues for women and other groups regarding mentoring. Our education leadership candidates are aspiring to be

school leaders. Certainly, they will most likely begin their school leadership careers as assistant principals, department chairs, or supervisors of specific programs in schools. A superintendency position is most likely one of the last positions in the pathway of school leadership careers. So our students must have good beginnings and the best way for us to ensure that is to be good mentors in leader preparation programs.

Drawing from the mentoring literature particularly looking at mentoring graduate students, Rose (2003) stated that overall, the two most important things mentors can do for graduate students are to communicate clearly and effectively, and to provide honest feedback. In *Peer Mentoring in Post-Secondary Education: Implications for Research and Practice*, Budge (2006) quoted researchers who say that mentoring can positively influence students' career choices, their perseverance in following their educational goals, and their achievement in higher education. Other researchers whom Budge relied on agreed that "one of the main benefits of mentoring women is that women perceive mentoring as critical to the development of their career" (p. 77). Because traditional mentoring has not typically included individuals of other groups, minority populations are in even more need of mentoring. Traditional mentoring is most often described as an informal relationship between two white men – the mentor is older and more experienced. Nontraditional mentoring encompasses any other type of relationship different from that model (Budge, 2006, p. 79).

Some of the women participants in my research who were in their late 50s and in their first superintendency wished they had been mentored to pursue the role at an earlier age. One participant advised women seeking a superintendency to have "trusted friends you can call on for a sounding board." This is good advice; however, in many instances women have had to rely on men to mentor them since there aren't many women in the position. If this current trend of too few women in the superintendency continues, men will need to know how to mentor women into the role. Many of the women I interviewed had men who mentored them into the superintendency and continue as their mentors into their careers. However, there are problems associated with cross-mentoring that we need to be aware of. In a literature review Budge (2006) found that many authors who address cross-gender mentoring "theorize or have analyzed results that show cross-gender mentoring to be unsupportive and dysfunctional" (p. 77). Women mentees may feel some uneasiness if the mentoring relationship is seen as sexual and is publicly scrutinized. Female role models appear to be more important for women than for men. Budge quoted research concluding that female mentor/female mentee combinations might also open up space for more assertiveness and inventiveness by mentees. However, on a more positive note for cross-gender and cross-cultural mentoring, in these relationships, mentors and mentees report a mutual examination of stereotypes and improved communication (Budge, 2006).

CONCLUSIONS: A CALL TO ACTION

Education leadership professors need to think about many of the issues coming out of research with women school superintendents. Women in the research discussed in this paper have said: we are suited to lead and we would not change our career paths if we had to do it all over again. Inclusion of women's voices into the landscape of education leadership literature now needs to come into the classroom. Education leadership professors need to mentor women into the field, mentor women into education leadership positions leading to the superintendency, and consider the implications for future male leaders who will be mentors for women who won't need to say: "I wish I had pursued the position earlier in my career" (Interview, 2000).

As professors designing coursework in education leadership programs, we need to draw on research with women who are in the role as superintendents. This research gives voice to women who tell us what external and internal barriers they have faced in attaining their positions, how they are faring in the role as superintendents, what the challenges are to remain in their positions, and what they recommend to those in the pipeline for the job. Our women candidates in education leadership programs are in the pipeline. Skrla (1998) made a case for more studies of women in the role because “. . . as such studies accumulate, researchers and practitioners should move towards a better understanding of women’s work lives as superintendents” (p. 5). Reports of this type of research can be used by professors of education leadership programs to acquaint their students with firsthand accounts of how women describe their work lives in the top job in education.

As I strive to mentor women who are my students into those top leadership positions in education, I can draw on the stories I have heard, and hope to keep hearing. I can offer examples of what women have to say about leading others by sharing power and giving it away, leading by making those connections with people, and establishing communities that are able to learn about and appreciate diverse points of view and ways of knowing. Brunner (2000) in her extensive study of 12 women superintendents felt that her participants “in their caring practice and heartfelt perceptions” (p. 36) could change the way all people—men and women—perform in the position. I feel the same way after conducting research with women superintendents.

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The Role of Superintendents in Leading Districts to Cultural Proficiency

Thomas Price and Sandra Harris

According to the Texas Education Agency (TEA) (2005), minority students now represent the majority of students in Texas, but are under-performing their white counterparts. In 2004–05, white students in Texas achieved a 91% pass rate in reading, while Hispanics scored 77% and African American students scored 76%. The disparity is even worse in math and science where White students scored 84% in math and 81% in science, while African American students scored 57% in math and 49% science. Yet, while many school districts are struggling to meet the needs of the diverse groups of children in their schools, there are school districts in Texas with a majority minority student population that have received recognition from the TEA as “Recognized” districts (TEA, 2005). Since the superintendent of a district is ultimately responsible for the failure or success of the students (Landsman, 2006), the purpose of this study was to investigate the role of the superintendent in leading the district to become more culturally proficient. Research questions included:

- 1) What is the role of the superintendent in leading the school district to become more culturally proficient?
- 2) What strategies does a superintendent implement to directly address the multicultural diversity in the district?
- 3) What staff development or programs have superintendents implemented that directly address faculty and staff understanding of racial diversity and/or cultural sensitivity?

DEFINITION

Cultural diversity encompasses a variety of cultural experiences that include ethnicity, poverty, age, gender, and sexual preference. Howard (1999) noted that diversity is not a choice, but that individual responses to diversity certainly are, and these responses have not been adequate to deal with a full range of issues presented to educators in a multicultural nation. This study is framed around the definition of cultural diversity established by Lindsey, Roberts, and Campbell-Jones (2005) who defined cultural proficiency as the honoring of the differences among cultures, viewing diversity as a benefit, and interacting knowledgeably and respectfully among a variety of cultural groups.

Changing Demographics

High stakes testing, district report cards, and the No Child Left Behind Act have focused educators on success for all students in a period of time in Texas when demographics are quickly changing (Scherer, 2004). State and federal funding is being tied to student success while district and campus administrators are being held accountable for students not meeting minimum

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standards set by the state and federal accountability systems (TEA, 2005). In order to keep up with challenging legislation and changing population demographics, the superintendent, as the district chief executive officer, has a complex leadership role. In fact, Houston (2001) noted that the superintendent was responsible for providing the “final answer” (p. 429) for school success. One of these complex roles involved building cultural leadership (Schwahn & Spady, 1998).

Just as in all of the states in the United States, today, Texas students participate in high stakes testing in a climate of changing student demographics. According to the 2004-05 Texas Academic Excellence Indicator System (AEIS) (TEA, 2005), 45.8% of students participating in the Texas accountability testing were labeled At-Risk. More than 60% of students participating in the testing process were minority students (44.7% were Hispanic and 14.2% were African American). At the same time, 54.6% of Texas at-risk students were below the poverty level. In contrast, only 8.9 % of the teachers were African American and 19.5% were Hispanic—for a total of 28.4% minority teachers to 60.9% minority students.

Despite the changes in demographics of students in the education system, there has been little change in the education system and the focus has continued to be the Americanization of students through the public schools (Spring, 2004). Howard (1999) noted that few educators were prepared to teach a population of students who represented such a wide variety of cultural backgrounds. Yet, while the demographics of the students continues to change, many educator preparation programs have only recently begun to address the need for training in cultural awareness (Tucker, Reinke, Ivery, Mack, & Jackson, 2005). While beginning to do this is a positive action, the minority representation of administrators is very low. For example, fewer than 5% of superintendent positions were held by men and women of color across the United States (American Association of School Administrators, 2000).

Superintendent Role

Aseltine, Faryniarz, and Rigazio-Digilio (2006) noted that the role of the superintendent in leading was complex and requires the ability to communicate ideas and vision while informing, facilitating, cheerleading, supporting, empowering and, when necessary, confronting those who refuse to make the change to believe that all students can be educated. This viewpoint is especially important with the multicultural/diversity issues in schools today.

Schein (1992) argued that the way an organization changes or does not change begins when leaders place their own values on the group. Schein added that the unique talent of a leader is to understand the situation in the district and facilitate that change. In order for education leaders to change a district so its personnel understand cultural differences, the superintendent must look into his or her own assumptions about the students in their district and be willing to pursue effective ways to successfully educate all students from every ethnic and social background (Lindsey, Roberts, & Campbell-Jones, 2005).

Cultural Challenges

There are many cultural challenges that districts must face. Examples of these are discussed by Rubinstein-Avila (2006) who argued that most districts are unprepared to handle the population growth of limited English speaking students that has occurred over the last three decades. Teacher preparation has not been meeting the needs with only 2.5% of limited English language teachers receiving the specialized training needed to help today's students (Ruiz-de-Velasco, Fix, & Clewell, 2000). Research by Bunch, Abram, Lotan, and Valdez (2001) has shown that English as a Second Language (ESL) teachers lack the necessary training in such

areas as discipline, pedagogy, or content experience to effectively meet the increase in demands established by states for grade-level content curricula. While ESL teachers lack the content knowledge needed for students to be successful, content-area teachers lack background knowledge of second language acquisition or even second language teaching methodology.

Poverty is another cultural barrier to closing the learning gap. According to Orfield and Yun (1999), African American and Hispanic students, with limited English speaking abilities, were more likely to live in urban areas where schools tended to be over-crowded with limited resources compared to majority white suburban school districts. Non-English speaking students were likely to live in areas where there was little interaction with native English speakers and no access to private tutors or computers connected to the internet (Suarez-Orozco & Todorova, 2003). Gutierrez and Rogoff (2003) noted that although socioeconomic status is an influence on student opportunities, it is important to avoid labeling individual students. These researchers proposed that circumstances such as origin, neighborhoods, school attendance, or activity participation should not be seen as traits, but as one's individual background.

According to Tatum (2006), the field of education has been saturated with studies showing poor achievement levels among African American males. Tatum argued that barriers such as self-confidence and identity issues affect achievement levels, and that the African American male's culturally specific coping mechanisms such as acting tough, failing to retreat from violence, and avoiding self-disclosure subject these students to disproportionate grade retentions.

Fashola (2005) has argued that like the Hispanic student, the African American student's external structure of community racism, parental education level, and socioeconomic status contribute to success in the classroom. Many African Americans live in high-risk neighborhoods and are distracted from learning by concerns over mortality and safety.

Fashola suggested that the educator must seek to understand these multiple sources of stress in order to help the African American male begin to work toward a self-definition as well as a desire to be successful in an educational environment. Hurwitz and Hurwitz (2005) proposed that a direct link existed between teacher competency and student achievement, pushing the goal of teacher quality to the forefront of the education agenda. The preparation of teachers to be successful in a multicultural setting was important because teachers have the most impact on the academic engagement and achievement of their students (Tucker et al., 2005). Clearly, it is important to understand what school superintendents have implemented in their districts—including the preparation and continued training of teachers and other administrators—that have resulted in minority student success.

METHODOLOGY

Qualitative phenomenological narrative inquiry methodology was used for this study. Creswell (1998) indicated that the phenomenological method describes the meaning of lived experiences of individuals and their experiences with a concept or phenomenon. According to Clandinin and Connelly (2000), narrative inquiry results in collaboration between researcher and participants that attempts to reconstruct stories of individual lives lived and the stories told of those lives.

Sixteen superintendents in Education Service Center Regions 4 and 6, which were within a radius of 200 miles of Houston, met pre-determined criteria. These service areas were selected because of convenience for the researcher. Criteria for selection required that each of the superintendents had been in the district since 2002, and that each district represented changing demographics with diverse populations that had a minimum 30% minority population. The Texas Education Agency lists the following populations for accountability purposes: White, African-

American, Hispanic, Asian, and low socio-economic. The final criterion for inclusion was that the district must have made improvement in closing the achievement gap since 2002. In both participating regions there were 106 school districts. Five of the 16 superintendents whose districts met the criteria agreed to participate in the study.

Prior to conducting the study, the primary investigator used mock interviews with doctoral students enrolled in an education leadership program, as well as professors with expertise in the areas of cultural awareness or the superintendency to strengthen internal validity (Creswell, 1998). Drawing from the literature also strengthened content validity. Guiding questions were revised and strengthened. Questions investigated the superintendents' role in responding to a need for cultural awareness and the perception of district cultural proficiency in closing the achievement gap between majority and minority students. Follow-up interviews were conducted after the initial interview to identify inconsistencies and clarification of details.

Each interview was tape recorded, then transcribed. Additionally, the interviewer took notes and included reflective comments. Using constant comparative analyses, data were read and organized into emerging themes, concepts, and categories (Creswell, 1998). Data were also triangulated through observing artifacts, such as test data, and newspaper articles.

FINDINGS

Research Question One

Research Question One asked about the role of the superintendent in leading the school district to become more culturally proficient. Vision and the ability to put the right people in place to carry out that vision were the two most common themes to emerge. All superintendents stated that one of their main roles was not only to express the vision, but to assure that the vision was implemented by finding the correct people to help all of the students be successful.

All five superintendents noted that the vision had to begin with the superintendent. One superintendent commented, "The vision has to come from the top, but then you have to engage your campus teams in the planning process." Another superintendent emphasized that while vision started with the superintendent, it was also his responsibility to model high expectations. He stated, "High expectations for all learners must be communicated to both staff and the community. Our principals must be held accountable for performance for all students with special emphasis on our minority learners."

Another superintendent viewed the role of the superintendent in shaping the cultural proficiency of the school district as visionary, and noted that it was the superintendent's responsibility to set district priorities, then to assist the staff in reaching those goals. He said, "I think the superintendent sets the stage for the entire district as far as celebrating the diversity of the district and recognizing the diversity resulting in the meeting of the needs of all the kids."

The importance of the leader's role was addressed by one superintendent who suggested that communication of the superintendent's vision for the district to be culturally proficient must be done by design. He emphasized that the superintendent must "demonstrate through symbolic gesture, event, and word" that he supports and values all cultures while assuring that all students are having their instructional needs met. He stressed that modeling the vision was a key component: "The evidence the people can see the superintendent doing speaks more than all the words he can ever utter."

Another theme that emerged was the belief that there is a direct relationship to the success of the vision and hiring the correct personnel to help bring the superintendent's vision to fruition. Four of the five superintendents stressed the importance of not only getting the right people to

join the organization, but placing each person in the right position for student success. For example, one superintendent noted this importance when he shared the following:

One of the best things I did was hire my assistant superintendent for curriculum and instruction. She has really done a lot for me to project the cultural awareness and the fact that we care about all the kids.

Another superintendent credited most of the successful transition toward cultural proficiency in his district to his ability in hiring the right people and allowing them to do their job. He hired a woman with a strong curriculum background to head what is now a “structured, powerful system.” Two superintendents insisted that hiring the right teaching staff was the most important component to realizing the vision of cultural proficiency because “it is the teachers who make the biggest impact on the students.” One of these superintendents also emphasized the need for quality teachers in a classroom who love the children they teach and are student-centered instead of subject-centered.

Research Question Two

Research Question Two explored the strategies superintendents implemented to directly address the multicultural diversity in the district. Each of the five superintendents agreed that one of the biggest keys to addressing multicultural issues in the district was to first help the community understand that there was a need for change. Secondly, they realized there was an urgent commitment on the part of the superintendent to address the changing demographics.

One superintendent explained the importance of the need for change, which he termed a “new mindset.” Another superintendent explained that the demographics of the situation changed so quickly that many of the people did not realize what was happening. His district’s demographics reversed in only 10 years from a 65% white district to a district that is now 72% Hispanic and only 14% white. When they began disaggregating data, they found achievement gaps existing between white and minority students. Communicating this information to the community was an important responsibility.

All superintendents expressed the belief that a key to having the ability to change was first realizing that there was a critical need. Each stated that once the community understood the district was changing demographically, the notion that there was an urgent need for a commitment to promote change became more acceptable to both the school faculty and the general public. Thus it was of critical importance to educate staff members and the public regarding the need for change.

Research Question Three

Research Question Three asked superintendents to share what staff development they had implemented that directly addressed faculty and staff understanding of racial diversity and/or cultural sensitivity. Participating superintendents stressed that staff development was a must to meet the challenges of an increasingly diverse population. Staff development goals centered on increasing student achievement for all and providing staff with culturally proficient teaching methods. These methods included focusing on needs of individual minority students, understanding cultures, and connecting with all students to increase participation in school activities.

Blankstein (2004) noted that educators at high performing schools realized that what each person does on campus contributes to the learning of each student and that all students can perform at high levels. He suggested that a common failure was the school community's refusal to take direct responsibility for the learning of each student. All five of the superintendents echoed Blankstein's comments. One superintendent described how he and his staff had to refocus the thinking of district personnel and make the paradigm shift toward cultural proficiency. They had to focus district training toward meeting the needs of the students. He said that today staff development is continually implemented which focuses on the goals of cultural awareness and student achievement. District educators are "in a state of constant book study. Some studies deal exclusively and directly with these issues (cultural awareness). All of our (book) studies, at a minimum, address such issues peripherally."

One superintendent explained that staff development in cultural proficiency is now a district priority. Included within his district staff development is a continual process in which teachers receive periodic updates either in direct training opportunities which stress cultural learning styles or indirectly as part of other staff development. The superintendent said, "It is just a part of the process—we had 365 different workshops last year for our faculty, and areas of cultural diversity were a part of it."

Another superintendent stressed that his district not only had to "teach" the teachers to use a new curriculum, but they also had to implement a staff development program that specifically addressed the cultural changes the teachers were experiencing. He noted that the staff development department needed to be "strong and well-planned."

As superintendents shared the staff development strategies implemented in their districts, all five pointed out the realization that by focusing on the needs of individual minority students, the needs of all students were better met. Consequently, the superintendents all agreed that the only way to address the vision and changing multicultural nature of the districts was through staff development that targeted the needs of the individual student.

IMPLICATIONS FOR PRACTICE

Numerous studies (Aseltine, Faryniarz, & Rigazio-DiGilio, 2006; Houston, 2001; Lashway, 2002), have revealed that the superintendent has the role and the responsibility to lead the district by establishing a vision for the district and then working with the school board to implement policy to support the vision. Through interviews, the study participants confirmed and expressed their belief in the position of the superintendent as key to providing educational opportunities to all students by encouraging the spread of culturally proficient understanding in the district.

The first research question in this study focused on the role of the superintendent in leading the school district to become more culturally proficient. Findings suggested that superintendents whose vision recognizes the importance of cultural proficiency and who hire accordingly will be effective in leading their district when it has a growing diverse population. Therefore, developers of superintendent training programs should include courses that directly address cultural diversity, and the changing demographics of schools in the United States using readings, case studies and simulations.

The second research question investigated the strategies a superintendent implemented to address diversity in the district. Superintendents in districts with rapidly growing diverse populations who were change agents were likely to lead their districts effectively in becoming more culturally proficient. It was evident that understanding of the change process was also pivotal to the process of leading a school district toward cultural proficiency. This emphasizes the importance for university programs and superintendent training coursework to emphasize the

change process to strengthen prospective superintendents' knowledge base when facing change. This can be done through case studies, problem-based learning, and simulations.

The third research question investigated the importance and implementation of staff development. Staff development was an important component in leading these districts to become more culturally proficient. However, it was also evident that the staff development must be focused specifically on meeting diverse student needs. This suggests the importance of school district leaders to provide staff development that specifically addresses meeting the diverse needs of a multicultural society, and encourage school faculty members to engage in book studies which focus on diversity. Additionally, training should begin at the undergraduate level to provide pre-service teachers with cultural understandings and continue through all levels of graduate work.

CONCLUSION

This qualitative study supported the position of the superintendent as key to providing educational opportunities to all students in the district by having a vision that leads the charge to promote culturally proficient understanding in the district. This includes hiring the right teachers, understanding the need for change, making an urgent commitment, and promoting staff development that emphasizes student achievement for all and providing teachers with training in culturally proficient teaching methods.

Findings from this study suggest that the topic of superintendents and cultural proficiency is an area for future studies to consider. We suggest that a key point to be investigated should be greater variations in the size of the districts involved in the sample. In this study the smallest district involved enrolled over 4,500 students. Would the findings of the study be different in smaller districts with student populations of fewer than 4,500?

Another consideration for further study would be the geographic area in which school districts are located. The five districts represented in this study were all located in growing areas of Texas that were experiencing rapid increases in minority populations which had been traditionally white. Would the findings be different if the superintendents selected had been located in districts that were experiencing growth in student population, but maintaining the same percentage of ethnicity as in prior years?

Selection of participants should also be considered. The participants in this study comprised a sample based on convenience. The researcher either knew the superintendents previous to the interviews or knew of them by personal or district reputation. Perhaps the study findings would have been different if the sample had been random or included all districts throughout the state. Investigating the superintendent role in other states would also be valuable, since changing student demographics are occurring throughout the United States.

The ideologies underlying many school policies and practices today are often based on flawed notions of cultural proficiency. The superintendent's need to understand cultural issues in today's schools is critical to the success of the children in our schools. After all, the superintendent is held ultimately responsible for the learning that occurs in the school district. As one superintendent eloquently expressed:

Leading for improved cultural proficiency means understanding who students are, where they come from, what motivates them, what encourages them. What is it that they need to take them to the next level? Holding high expectations for everyone is key, and this cannot be done without understanding cultural issues.

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Contextualized Principal Preparation for the Improvement of American Indian Education: Negotiating Cross-cultural Assumptions

William G. Ruff and Joanne L. Erickson

The Indian Leadership Education and Development (I LEAD) project was developed through a grant funded by the U.S. Department of Education to provide contextualized principal preparation and induction services to Native American teachers aspiring to school leadership positions. This study sought to determine how Native American graduate students in a contextualized principal preparation program stepped into leadership roles and their impact on school improvement. Findings suggest that some graduate students may need additional support in asserting their leadership capability within the schools where they work.

American Indian children in Montana are served in our lowest performing schools by a disproportionate number of non-Indian educators. Forty-nine of the 58 schools that did not make AYP have high concentrations (50–100%) of American Indian children (Montana Office of Public Instruction, 2006). American Indian children constitute 75% of the total junior high dropout rate, and high school dropout rates for American Indian children are nearly four times the rate of white students. While American Indian children make up approximately 12% of public school students, only 2.5% (253 of 10,223) of teachers were American Indian. According to 2004–2005 data reported to the Office of Public Instruction, there were only 18 American Indian school administrators in Montana.

Teacher and administrative turnover complicated the problem of providing quality education in schools serving American Indian children. In a recently conducted Schools and Staffing Survey, 25% of the principals in high-poverty schools had three years or less of total principal experience and a third had been in their current school two years or less (Northwest Regional Educational Laboratory, 2004). School Administrators of Montana (SAM) track and announce administrative vacancies in Montana. Darrell Rud, Executive Director of SAM reported that schools serving American Indian students have the highest rate of administrative turn over and the most difficult time filling administrative vacancies (Personal Communication, March 18, 2006). Rud's observation was echoed by Bob Vogel from the Montana School Board's Association from his experience in conducting superintendent searches. Vogel also reported that the most difficult administrative positions to fill were those on Indian reservations and were usually filled by the least qualified and most inexperienced candidates (Personal communications, March 24, 2006). Non-Indian administrators report that their lack of cultural understanding and different cultural assumptions interfered with success. Recruitment efforts to fill administrative vacancies with American Indian leaders have not been successful, as there are not enough trained and qualified American Indians to fill the positions (National Center for Education Statistics, 2007).

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Part of the strategy for improving education for American Indian students must include stopping the high turnover rates of school and district leaders at schools with high percentages of Native American children (Gates, Ringel & Santebanez, 2006). Identifying and recruiting American Indian teachers from schools serving Indian students, and offering those teachers a contextualized principal preparation program that results in administrative certification delivered on or near their reservation may be a method toward reducing the high turnover rates allowing school improvement efforts to take hold.

INDIAN LEADERSHIP EDUCATION AND DEVELOPMENT (I LEAD)

The I LEAD program was a U.S. Department of Education funded project designed to educate, certify, place and support 70 Native Americans toward becoming principals throughout Montana and South Dakota. Candidates were Native American teachers recruited from schools that serve a large proportion of Native American students (>40%) and were selected based on the recommendations of their principal or superintendent and an autobiographical essay. The project would provide an authentic context for leadership instruction and problem-based learning while simultaneously increasing the capacity for the improvement of schools serving high percentages of Native American children. Stewart and Brendefur (2005) found that small groups of educators working collaboratively and focused on improving day-to-day instruction were successful in bringing about a positive change. Engaging I LEAD students in identifying and overcoming barriers to increased student achievement could serve to improve the schools where these graduate students work.

Several authors have found that education leadership programs that incorporated PBL combined with meaningful field experiences produced competent principals (Jackson & Kelly, 2002; Murphy, 2001). Yet, very few studies that compared the efficacy of such program innovations in the specific context of schools serving high percentages of Native American children. It is one thing to create a plan for improved principal preparation through grant proposals and syllabi. However, the strength of such efforts lay in plan implementation, and not in the plans. To help focus the study, a single research question was developed: How are I LEAD candidates (American Indian graduate students) in a contextualized principal preparation program assuming leadership roles for the improvement of their schools?

APPLICATION OF BEST PRACTICES IN PRINCIPAL PREPARATION

The gap between theory and practice, education and experience, knowledge and understanding, and other such dichotomies continue to form a foundation of criticism to the formal preparation of principals (Levine, 2005; McCarthy, 1999). For intelligent practice to flourish, the dichotomies must be collapsed (Dewey, 1938). Despite cries for reform in principal preparation and program descriptions touted to promote principal competence, traditional universities continue to separate classroom coursework and field experience (Murphy, 1992; Murphy & Forsyth, 1999). Such a separation in activities during formal education perpetuates habits that separate the understanding of how schools should work from the actions that improve schools. If the vision articulated by the No Child Left Behind Act is to be realized, then school leaders must go beyond understanding the principles of professional practice to applying those principles in specific contexts promoting school improvement. If preparation programs are to facilitate the growth of such leaders, then the connections between university classrooms and school district programs can no longer be assumed but must be demonstrated in ways that engage aspiring leaders.

Jackson and Kelley (2002) outlined the best practices of exceptional and innovative pre-service principal preparation programs. Three of the five practices that they highlighted were focused on engaging aspiring leaders to integrate the connections between coursework and school improvement, i.e., PBL, collaborative university-school district partnerships, and field experiences distributed throughout the program of study. The use of PBL facilitated the synthesis of a variety of skills such as problem identification, teamwork, administrative acumen, project development, and problem solving. Partnerships between preparation programs and external resources provided opportunities for guided practice enhancing the fluency of developing skills. Field experiences enabled observation, participation, and reflection of important issues related to identifying and addressing organizational issues. However, such field experiences often attempt to apply what was learned in the classroom. To facilitate intelligent practice the reverse has been recommended. Coursework should be used to support learning that occurs in the field experiences (Leithwood & Hallinger, 1993).

Sound program design is not the only essential element in producing high quality leaders. The dispositions and experiences of candidates play an important role. Most principal preparation programs accept self-selected candidates using traditional academic indicators such as undergraduate grade point averages (GPA) and Graduate Record Examination (GRE) scores. Browne-Ferrigno and Shoho (2002) found some number of viable applicants did not apply because they questioned their ability to lead. Personal invitations from the educator's superintendent signaled an expectation of readiness to capable, but reluctant applicants. Additionally, firsthand knowledge and understanding of the school setting, students, teachers, and administrators allowed leadership candidates to make sense of their learning, while traditional academic indicators only predicted scholarship ability (Creighton & Shipman, 2002). Purposeful selection of candidates with a focus on leadership potential needs to be a collaborative effort between university faculty and local school leaders (Milstein, 1992). Crow and Glascock (1995) listed several strategies that are rarely used but powerful. Among these strategies are: (1) nomination of candidates by the superintendent with an emphasis on nominating capable women and minority members; (2) a rigorous application process requiring nominees to reflect on career history, teaching and learning experiences, and vision of leadership; and (3) a selection process conducted wherein the first processors are by school leadership practitioners and school board members.

Researchers have noted that the Native American view of education is often in contrast to contemporary public school practices producing a tension between individual perceptions and learning expectations (Calsoyas, 2005). In a study of the learning patterns of post-secondary American Indian students, Aragon (2004) found that American Indian students: described their learning as a process of watching and thinking, were practical and orderly in their orientation, earned success by thoroughness, and drew on analytic as well as global information-processing approaches in learning.

By contextualizing the activities and instructional focus of I LEAD, the project conformed to the standards of the Educational Leadership Consortium Council, research findings on the best practices in principal preparation (Browne-Ferrigno, 2003; Jackson & Kelley, 2002; Murphy, 2001), and aligned with research findings on the nature of American Indian learning styles in post-secondary education settings (Aragon, 2004). Nevertheless, although the applications of best practice methods were carefully planned, success must be dependent upon implementation. This study focused on the issues of implementation as perceived by the instructors, students, and practicing administrators at the schools where the graduate students teach.

METHODS

Thirty-five I LEAD candidates were enrolled in an initial block of instruction that combined three credits of community and schools content with one credit of field experience. These candidates were in the first I LEAD cohort comprised of 40 Native American graduate students. I LEAD cohort 1 candidates were Native American teachers recruited from schools serving predominantly (40% or more) Native American students. Recruitment was accomplished by publicizing the program at K-12 schools on or near Indian reservations in Montana and through the tribal colleges in Montana. A selection board composed of two faculty members and a superintendent of a school district located on an Indian reservation reviewed 53 applications to select 43 candidates. Applications consisted of a letter from the applicant's current principal or superintendent, an essay explaining the applicants' experience as an educator, reasons for wanting to become a school leader, and an autobiographical summary, and a brief application form containing contact information, tribal affiliation, education history and current employment information. All students, except three, worked as full time K-12 teachers or administrators in 15 schools and 11 school districts located on or near Indian Reservations in Montana. The three remaining candidates worked at a tribal college.

The instructional block was team taught by an experienced educational leadership faculty member and an experienced administrator currently working at a school where the majority of students were American Indian. The course project required students to meet with their principal and develop plans to increase family engagement at their school. Students working in the same school could complete the project as a team. Formative assignments were made to facilitate the successful accomplishment of the course project.

A grounded theory design was used to collect and analyze the information. At the end of the term, the course projects were collected as artifacts. Interviews were conducted with the university faculty instructor and one of the two practitioner instructors regarding their perceptions of the projects and the level of student engagement in developing a school-wide program. As an additional source of data, the superintendents at five of the eleven districts and the principals from seven of the fifteen schools where the I LEAD students worked were interviewed regarding their perceptions of the usefulness of the course project, the level of leadership exhibited by the I LEAD student in school affairs with particular note of any changes in leadership behavior during the previous semester. The triangulation of data from course instructors, course assignment artifacts and information from supervising superintendents and principals regarding the level of school leadership demonstrated by the students and usefulness of the projects provided a sound degree of trustworthiness.

The data were analyzed using the inductive method of constant comparison. Several themes emerged from the data. Categories were established and information was placed into the various categories discussed in the results section. Once the categories were established, information for each source was queried to ensure the categories were appropriate and that all the information fit into the existing themes. In other words, once a grounded theory was established, the body of data was reviewed to ensure that all data was consistent with the asserted theory that was developed.

RESULTS

Overall, the project plans and implementation were aligned well for slightly more than half of the I LEAD students. These students were engaged in school leadership activities that

were seen as meaningful by the leaders at their own schools as well as by their instructors. Furthermore, they were perceived as creating awareness for school improvement by engaging their peers in improvement activities, and explaining administrative decision making processes to their peers. The remaining group of students did not assume any responsibilities for school improvement beyond their teaching duties in the classroom. The course assignments for this latter group demonstrated a minimal amount of collaboration except with other I LEAD students working at their schools.

Those I LEAD students assessed as demonstrating strong leadership were able to create projects that principals perceived as contributing to school improvement. As one superintendent put it:

The project that the I LEAD students engaged in was well aligned with the district and school goals on the School Improvement Plan. If Indian people were more engaged in communicating with the Indian members of the community, trust could be reestablished. The district did establish a Parent Center, but it is not being used very heavily. Current involvement by parents is limited to serving on the (mandated) Parent Advisory Committee and at high school activities. My hope is to get I LEAD students involved in reaching out to the community, letting them experience leadership, and providing a sense of Native ways to the rest of the school staff.

Eleven of the 21 students in which inquiry was made were perceived by principals and superintendents as demonstrating leadership and having potential as leaders; yet, the remaining ten I LEAD students were assessed as having teaching deficiencies or dispositional deficiencies that the principals and/or superintendents perceived as making it questionable as to whether they can or will assume leadership positions. An elementary school principal provided an example of this:

Deborah [pseudonym] has been a recognized leader in the school prior to her involvement with I LEAD but this is Megan's first year in the school, so trust has not been established as of yet.

A middle school principal with I LEAD students working at the school saw two students as strong leaders, but saw the other two as having little to no potential as school leaders:

Only two of the four have stepped out into leadership positions. One has obtained an administrative position as an assistant high school principal, and the other has assumed strong teacher leader roles. The other two have not stepped up, and their dispositions for leadership are not promising. Neither is assuming responsibility beyond their classroom. ...They won't be empowered into leadership positions because they can't lead.

In one district where 12 of the I LEAD students worked, the superintendent changed the meeting time of the weekly district leadership meeting to allow I LEAD students access to the meetings. The students within this district were grateful for the opportunity and used the information productively to inform other teachers better of the decision process. Students in other districts heard about the access to leadership meetings and requested that the I LEAD program intervene to facilitate attendance at such meetings within their district. At the district's leadership meeting, several principals remarked that I LEAD students have influenced decision-making in the district. In two cases, this has led to principals stating their concerns about the practice. One principal stated, "Since everyone seems to be invited to

administrative meetings and has equal voice in decisions, I wonder who is running the district anymore.” Another principal stated, “I LEAD students attend administrative meetings where decisions are made but are viewing these decisions from a teacher perspective. Some then use this information to undermine the decisions of the administration.”

Course assignments submitted by students varied in quality and usefulness toward engaging the community. Among the best projects was a plan developed at a middle school where members of the community would be invited to share their wisdom to students regarding cultural heritage and clan histories. Conversely, students then shared their knowledge and skills of technology with the community members. This project engaged community members in school activities in a meaningful way and spoke directly to tribal customs of oral tradition and establishing reciprocal connections of honor. Another project involved teachers outlining lesson objectives and requested family members to provide content materials to fit the objectives as a collaborative effort to meet the Indian Education for All initiative requirements in Montana schools. Other student projects involved collaborating with family members in ways that promoted cultural heritage, facilitated engagement in currently established school family centers, and enlisted involvement in family math and reading game nights.

DISCUSSION

In evaluating the alignment between the plan for contextual principal preparation and the contextualization that took place, there was evidence of limited success. The graduate students who used the contextual focus of the I LEAD curriculum did so with aplomb. Students who took on school-wide leadership responsibilities were perceived by administrators at their schools as contributing to school improvement. Those students who did not venture beyond their classrooms were not seen as contributing to school improvement, and their administrators expressed a lack of confidence in their leadership potential and ability.

The selection process required strong recommendations (letters) from principals and/or superintendents for all I LEAD students; yet, principals and superintendents in face-to-face conversation indicated that only about half of the I LEAD students had leadership potential. Such a disconnection between the letters of recommendation and the verbal evaluations of leadership potential was perplexing. Part of the intent for school/district visits was to strengthen the partnership between I LEAD students and the administrators of their schools. However, many principals and superintendents were uninterested in strengthening the partnership when they viewed the graduate student(s) as not having potential for leadership. On the other hand, when the graduate students were viewed as having leadership potential, the partnership was already strong. Traditionally, education administrators have been asked by university faculty to comment only on scholastic potential. Identifying and developing leadership talent for practice was seen as a practitioner role by practitioners. Thus, requesting recommendations on leadership potential stretches the existing paradigm. More research needs to be done in this area.

Part of the programmatic expectations was for students to *step-up* to leadership positions within their school as part of their pre-service training. Such expectations are institutionalized in our traditional program; for example, students are expected to have amassed at least 100 hours of school or community leadership activities before entering into the 3 credit field experience (which is similar to the internship in many principal preparation programs). Yet, only half of the students were seen as teacher leaders within their schools despite the

opportunity afforded by the one credit field experience integrated into the school and community course. I LEAD candidates who had not assumed a teacher leadership role were uncertain about taking on this role or considered it inappropriate to assert themselves as leaders until invited by on-site leaders. Conversely, school leaders judged leadership ability based on self-initiated leadership activities. American Indian learners are often reluctant to engage in an activity when they do not feel confident (Cleary & Peacock, 1998). Traditionally, American Indians are mentored into leadership positions by Elders. However, school administrators inculcated by the dominant culture expect those who aspire to leadership to assert their leadership within the school as teacher leaders. Strategies must be developed to bridge the difference in cultural expectations. To create meaningful educational experiences for all leadership candidates, program leaders must formalize processes that ensure the on-site support is available for aspiring leaders throughout the program of study when authentic instruction is a goal.

In many states in the Northwest and Northern Plains, American Indian educators capable of leading and improving schools on or near Indian Reservations are needed. Yet, many otherwise capable individuals are held back by cultural assumptions and institutionalism. Even within a structure designed to facilitate leadership initiative, American Indian teachers were reluctant to step into a leadership role without on-site encouragement and invitation by local leaders. Current school leaders must begin to understand the need for building leadership capacity and act by inviting all teachers to take on roles outside their classrooms. Principal preparation programs must address the issue as well by questioning the assumptions held by aspiring leaders and facilitating on-site support for graduate students when the program begins, not when it ends.

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CHAPTER 4

PHASE CHANGE MATERIALS

K-12 LEADERSHIP PRACTICES

CHAPTER 4

PHASE CHANGE MATERIALS

Leader Values-Needed and Student Values-Held: Dilemmas for Leader Educators

JoAnn Danelo Barbour

We are asking much of our education leaders at the turn of this new century. We ask them to lead change, yet ask them to keep schools secure and stable. Asking for creative visions, we want artistry, attitudes of leaders, but expect bean-counter accountability of student learning, more indicative of manager behavior. This last expectation is important, because if attitudes are predicated upon value systems (Wilson, 2004), then by extension leader attitudes are also predicated upon values. The synergistic relationship between a leader's values and the values of the organization is very important (Irby, Brown, Duffy, & Trautman, 2002).

To help future school leaders reflect upon and understand the importance their values hold in their work as administrators, this researcher conducted an exploratory, descriptive study, that employed a mixed method approach, to answer four questions: What values may be needed in order to lead schools in the 21st century, according to the literature? What values do graduate students hold most deeply as they enter a program for school leaders? How closely aligned are the values-held and the values-needed? Finally, what can educators do to influence future leaders to maintain or develop values needed for 21st century leadership? In this paper, I discuss the literature, research findings, and implications for educators of future leaders.

RATIONALE FOR STUDYING VALUES

The most distinctive and important properties of culture are its values (Kroeber & Kluckhohn, 1952; Kuper, 1999). Consequently, to understand a culture, even an organizational work culture, scholars attempt to assess the values, and, in order to assess the values, they attempt to make meaning of symbolic aspects of the culture. In fact, "... values provide the only basis for the fully intelligible comprehension of culture, because the actual organization of all cultures is primarily in terms of their values," (Kuper, 1999, pp. 57–58).

When one speaks of values, one notes that which is relevant and important; when one's focus is on administration, the discipline is both value-laden and value-saturated (Hodgkinson, 1978). Values are central to the field of administration because much of the practice of school leaders requires choosing one course of action over another, and there is a need for values to gain greater attention in the scholarship of administration (Willower, 1992, 1994). Because of the large component of value judgments in administrative practice and since administrative action affects the quality of organizational and extra-organizational life, education administrators ought to possess knowledge of values (Hodgkinson, 1978, 1983).

Considered together, values form a value system, "an enduring organization of beliefs concerning preferable modes of conduct or end-states of existence along a continuum of importance" (Rokeach, 1973, p.5). Leaders possess value systems upon which they make their

decisions. Twenty-first century leaders will have to make decisions within a framework of instant, often simplistic communication requiring flexibility and the ability to maintain an uncluttered, focused mind that can discern the big picture. These leaders must deal with nationalistic and fundamentalist reactions. They must also deal with an increasing absence of privacy; and with ever more technical expertise, that is, taking expert knowledge, judging its importance, and conveying it to non-specialists. This last trend requires an inquiring, probing mind and demeanor to gather the best information and make quality decisions based on that information, and then to present that information in a simplified way (Gardner, 2006).

The need to maintain bureaucratic rigor, therefore, is giving way to the need for school reform; bureaucratic authority will shift to moral authority; leadership will, of necessity, become complexly transformational. Therefore, as the need for a bureaucratic administrator is giving way to the need for an interpretivist administrator, an effective leader in contexts of complexity, understanding values will be vital to future school leaders as the management pyramid is flattened (Barbour, 2006).

One way to help administrators develop a reflective understanding of their values is to begin in preparation programs with future school leaders. Because an instructor plays a major role in helping future leaders reflect upon and understand their value system, it seems reasonable, therefore, that educators of future leaders ought to know the values of the future leaders they teach in order to discern how best to grow these leaders.

THEORETICAL GROUNDING

Anthropologists suggest values are intrinsic qualities one stands for, what one considers good and important. Values are intangible, less clearly defined, and frequently expressed in abstract symbols or metaphorical stories; they can be interpreted in a variety of ways, giving values a certain amount of elasticity and flexibility. "Values are the deeply held conceptions of the desirable within every individual and society. . . . Values merge affect and concept. . . . serve as criteria for selection in action. . . . become criteria for judgment, preference, and choice" (Rokeach, 1979, p. 16). A human value is an "enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence" (Rokeach, 1973, p. 5). Human values are prescriptive and form the core around which other less enduring beliefs are organized. As such, they are important in other processes; for example, the formation of specific attitudes is theoretically predicated upon more general values (Wilson, paragraph 2).

Values are communicated in everything a school leader does, writes and speaks (Deal & Peterson, 1994). Future school leaders "must be directed by a powerful portfolio of beliefs and values anchored in issues such as justice, community, and schools that function for all children and youth" (Murphy, 2002, p. 75). Additionally, leaders "must maintain a critical capacity and foster a sense of possibilities," (Murphy, p. 75).

The need to maintain a stable organization is giving way to the need to make change; school improvement, human action, aligning people, and the value of that change will be important. Educational situations are marked by great complexity in politics, economics, finance, accountability, demographics, and staffing. Three prominent and interconnected features seem to dominate: a shifting of the national economy from "muscle-work" to "mind-work" and the concurrent demand for a highly educated labor force; greater state funding and regulating of education; and accountability through testing (Lugg, Bulkley, Firestone, & Garner, 2002). The values required of principals faced with the challenges noted above are many and include buffering staffs from overreacting to demands for policy implementation

from governing bodies. Additionally, principals must provide individual support to staff, while challenging staff to think critically and creatively about their practices. Principals must build a collaborative culture and develop those structures that allow collaboration to occur. Furthermore, the need to maintain human relations in the school will shift to the larger community beyond the school campus where community empowerment, involvement and commitment are needed foci for the school leader (Leithwood & Prestine, 2002).

Principals must have the ability to engage and influence staff and community members to work together, and “change the profession’s compass from management [back to] education” (Murphy, 2002, p. 76). In so doing, school administrators will need to be intellectual leaders and become “head learners” rather than “head teachers” (Murphy, p. 77). In order to be “head learners,” school leaders should value openness to participation, diversity, conflict, reflection, and mistakes (Patterson, 1993).

In conclusion, leaders demonstrate the values noted above by creating and maintaining democratic processes and structures that nurture ‘thinking aloud together’ (Furman & Starratt, 2002). Values in a democratic community include open inquiry and the open flow of ideas, the use of critical reflection and analysis, concern for the welfare and the empowerment of others and the common good, concern for the dignity and rights of individuals and the less powerful, and the responsibility of all to share and participate (Furman & Starratt, 2002; Murphy, 2002).

METHODOLOGY

Data for this study were collected from 91 students over 3 years and 8 semesters of the same course (*Introduction to Leadership Theory and Practice*). In the semester course, the students spent the first four weeks completing a set of self-inventories, scoring the inventories, and interpreting their data. Once the students interpreted their findings, they wrote a 4-5 page reflective paper on their inventory results and meaning for their future as school leaders. Additionally, students wrote the results of their various inventories on a “Data Summary Sheet” (submitted independently and anonymously from their written reflections) so that later this instructor could analyze the data of the collective group of students. The data were analyzed both quantitatively and qualitatively using a combination of simple statistical analyses of numerical data, and qualitative theme pattern analyses.

The *Rokeach Values Survey* is one of the inventories the students took and scored. This list of end and instrumental values was taken from the work of social scientist Milton Rokeach who studied values and how humans prioritize their values. (An instrument developed from the Rokeach lists is included in Appendix A.) The *Rokeach Value Survey* (RVS; Rokeach, 1973, 1979) is a 36-item questionnaire designed to measure specific personal or social value orientations or belief systems. These belief systems relate to a set of end states of existence or ultimate modes of living (delineated in the survey as *terminal or end values*) and a set of modes of conduct (delineated as *instrumental values*) reflecting behavioral characteristics viewed as socially desirable. The 18 terminal and 18 instrumental values are listed in alphabetical order. Examples of terminal values include “a comfortable life (a prosperous life)” and “a world at peace (free of war and conflict)”; “ambitious (hard working, aspiring)” and “honest (sincere, truthful)” are examples of instrumental values. The task of the research participant was to arrange the 18 terminal values and the 18 instrumental values, “in order of importance to YOU, as guiding principles in YOUR life” (Rokeach, 1973, p. 27). Then students were asked to submit, on their Data Summary Sheet, their top three ranked terminal and instrumental values.

Participants

Students participating in the study were enrolled in a Masters Degree program in education leadership and administration and brought varying experiences and levels of leadership with them. The university is located in north Texas where most students were current teachers, and who also may have been department chairs, campus team leaders, or entry-level school administrators. Some were retired military personnel who had led troops in battle and trained troops, pastors who led parishes, former business owners, retail or marketing employees, scout leaders, coaches, and band or choir directors. Sixty eight percent of the participants in this study were between 25 and 40 years of age. Most had taught 2–3 years or more. Of the 91 participants, 22 (24.2%) were male, and 69 (75.8%) were female. Since this university is the largest public university primarily for women in the United States, it would seem reasonable that the student population represented a large group of women. Additionally, 50% of the participants were Euro-Caucasian, 25% African/African American, 20% Hispanic/Latina-o, and 5% were from other ethnic groups.

FINDINGS

Students were asked to submit, on their Data Summary Sheet, their top three ranked terminal and instrumental values. Analysis of the data from the graduate students (N = 91) elicited 273 responses (R=273) for terminal values and 273 responses (R = 273) for instrumental values. Thus, (91 N) x (3 responses per participant) = 273 R for the terminal set of values and the instrumental value set.

As shown in Table 1, of the 18 possible choices, the top three terminal values mentioned most by the students included *family security* (taking care of loved ones), *salvation* (saved, eternal life), and *health* (physical and mental well-being). From a possible 273 responses, these three values represented 56% of the total possible. All three of the top three terminal values

Table 1. Rokeach Values Survey: Summary of key findings “Terminal Values.”

Top 3 Ranked Terminal Values Participants = 91 (N)	Responses = 273 (R) {91 N x 3 R each = 273 R}		Individual Participants (N) Ranking of FS + Sa + He N % Total N (91)	
	273 R	% of R	N	% Total N (91)
Family Security (FS)	58 R	21.2% R		
Salvation (Sa)	50 R	18.3% R		
Health (He)	45 R	16.5% R		
Total	153 R	56.0% R		
FS + Sa + He			11	12.1% N
FS + Sa			19	20.8% N
FS + He			15	16.5% N
Sa + He			11	12.1% N
FS			5	5.5% N
Sa			8	8.8% N
He			5	5.5% N
Total			74	81.3% N

were held by 12% of the participants. Only two of the top three terminal values were held by 50% of the participants. Only one of the top three values was held by 20% of the participants. Most notably, 81%, representing 74 students participating in this survey, held family security,

salvation and/or health as one or more of their top three values. Only 19% of the students in three years did not hold one of these values in their top three.

As shown in Table 2, of the 18 possible choices, the top three instrumental values mentioned most by the students include honest (sincere and truthful), responsible (dependable and reliable), and loyal (faithful to friends and/or group). From a possible 273 responses, these three values represented 45% of the total possible responses. All three top three instrumental values were held by 6% of the participants. Two of the top three terminal values were held by 38% of the participants. Only one of the top three values was held by 39% of the

Table 2. Rokeach Values Survey: Summary of key findings "Instrumental Values."

Top 3 Ranked Terminal Values Participants = 91 (N)	Responses = 273 (R) {91 N x 3 R each = 273 R}		Individual Participants (N) Ranking of H + Re + L	
	273 R	% of R	N (91)	% N
Honest (H)	58 R	21.2% R		
Responsible (Re)	34 R	12.5% R		
Loyalty (L)	30 R	11.0% R		
Total	122 R	45%		
H + L + Re			5	5.5% N
H + L			18	20.0% N
H + Re			12	13.1% N
L + Re			4	4.4% N
H			22	24.1% N
Re			12	13.1% N
L			2	2.2% N
Total			75	82.4% N

participants. Most notably, 83% of the participants held honest, responsible, and loyal as one or more of their instrumental values. Only 17% of the students in 3 years did not hold one of these values in their top three.

DISCUSSION OF FINDINGS

The key finding of this study was that the values-held by students who are preparing to become school administrators do not match the values-needed by future school leaders, one of the reasons this essay was written. This instructor wanted to come to grips with the seeming contradiction of the findings (values-held) with the values-needed by school leaders. It was difficult to reconcile the fact that 81% of the students whose careers will be organizational leaders valued seemingly personal values of *family security*, *salvation* and *health* over, for example, such seemingly important leadership terminal values as *sense of accomplishment*, *freedom* or *wisdom*. In three years, consistently semester after semester, even factoring for gender, age, or ethnic background, the same three values remained in the top three, as they continue to remain the top three in this current semester's analysis. Two questions that arose for this educator were: How could critical thinking take place with individuals, who so highly valued the presence of an authoritative voice, and the relative obedience to that voice, if salvation is so highly valued? How would these future principals encourage teacher decision making and teacher leadership which is highly valued, based on the literature?

A second finding worthy of note is what was not included in the top three terminal values. Rarely noted by participants were terminal values such as *wisdom*, *freedom*, or *equality*. Furthermore, the participants held most deeply the instrumental values of *honest*, *responsible* and *loyalty* rather than, for example, instrumental values of *courage*, *imaginative* and *broad-mindedness*, values that would seem needed by 21st century social justice change agents, risk-takers and systems' challengers. If our democratic educational system is based on the separation of church and state, how will our school leaders justify decisions that may contradict their organized religion, for example, the teaching of sex education or evolution, and choosing textbooks free of religious bias or religious proselytizing? Will decisions be made following religious doctrine, or democratic beliefs, if conflicts exist? How does one challenge a system without courage or without a strong belief in freedom if one does not hold these values in high regard?

A third finding that may seem noteworthy for educators of future leaders is that 25% of the students included both *honest* and *loyalty* in their top three instrumental values. Questions that arose for this educator included: If loyalty is so highly valued, what happens when legitimate challenges to that loyalty surface? How could decisions be made to fire an incompetent teacher, for example, if one so highly valued loyalty and/or family security? Who wanted to be the one who lost a family its paycheck? Would a principal hire loyal employees or honest faculty who could speak truth to power? Can loyalty and honesty to authority co-exist in employees?

Because of the findings of this study, and the subsequent concern for the seeming contradictions inherent in values-held versus values-needed, this educator began to research how educators can affect adult values. Five conclusions were made about how one can approach the preparation of future school leaders relative to the findings in this study; however, the conclusions are treated in this section as part of a feedback loop. Once this educator analyzed the inventory data, she began to research values literature. Thus, this author made conclusions with the literature in mind and an orientation to future classroom activities.

CONCLUSIONS AND IMPLICATIONS FOR LEADER EDUCATORS

A major conclusion made from this study and subsequent literature review was that this educator had to do something to help her students not only understand the importance of values to their work as school administrators, but to get the adult graduate students to rethink and perhaps change some of the deeply held values that may be in conflict with their future work. This would prove no easy task, based on the literature. Carl Rogers stated, "The curious paradox is . . . we cannot move away from what we are, until we thoroughly accept what we are. Then change seems to come about, almost unnoticed" (cited in Beck, 1993, p. 225). Critical and experiential theorists have suggested that educators who teach future school leaders must rethink their pedagogical practices to grow leaders who can lead in diverse, student-centered, team settings (Cherryholmes, 1988; Dewey, 1916; Freire, 1998; hooks, 1994; Kellner, 2003; McLaren, 1998). This instructor decided, then, to take a cognitive approach to get students to realize the depth of their beliefs and how those beliefs influenced decision-making. This educator developed two working hypotheses. First, once students could see the links between values-held and decisions through reflection and discourse, students would begin rethinking values-held. Second, once students began to rethink values held, perhaps they would begin to change their values to match those values needed by 21st century school leaders.

A second conclusion derived from the subsequent literature review was that in order to get students to rethink their values, this educator would need to approach class work with concepts of adult learning in mind. Adult learners demonstrate several characteristics (Brookfield, 1986; Cross, 1981; Knowles, 1978). Possessing a wide experience base, there is a desire to self-direct their learning, a time perspective for learning oriented to the present, and a problem-centered focus on learning. The most definitive of these characteristics is the experience the adult learner brings to the classroom. Primarily interested in material they can use for real problems, and responding to intrinsic rather than extrinsic motivations, adults need to see results for their efforts; that is, unless the new information or insight is something that can be used, it seems not worthwhile. Taking values inventories and reflecting on the inventories is one method to focus on self-understanding relative to theories of leadership practice; however, this educator would have to go into greater depth beyond reflection for values change. After analysis and reflection on personal inventory results, case studies were used and analyzed in the classroom. After case decisions were made, discussions ensued about the values demonstrated in the various decisions. Students were asked to visit their inventory results to see how the case-decision values matched or did not match their values-held. Further probing seemed to allow for a greater depth of class reflection and discussion.

When working with adults, in order to affect their value systems, one ought to accept and build incrementally on a person's existing value system: moving from the known to the unknown (Beck, 1993), suggestive of Dewey's (1922) notion of emerging from and incorporating what came before. To this end, with this third conclusion, this educator attempted to help the students expand their understanding of their values connected to, for example, leadership philosophies. The future leaders in this course traditionally had written "philosophy of leadership" statements that are "works-in-progress" honed throughout the semester. Originally, the assignment was rather informal, that is, the students submitted the first statement on the second night of class, and resubmitted the last night of class. Recently, this instructor has spent more time discussing the tweaking of the philosophy statements. The students submitted the statements each few weeks with an attempt to winnow the word count in the statement. The goal of this instructor was to get the statement short enough that their beliefs are at their fingertips, easily stated and remembered. Each few weeks, however, a new leadership theory was added to the class, so the students were consistently challenged with possible additions to their existing "working" philosophy statements.

Because adults usually prefer a problem-oriented approach to learning, an educator should proceed by dialogue rather than lecturing or imposition, and values learning must be in the context of specific problems (Beck, 1993), which is a fourth conclusion made from this study. Because "a major means of adult values education is through action to improve bad social structures (or maintain good ones)" (Beck, p. 334), cases or real life case-in-point problems (Heifetz, 2004; Parks, 2005) should be used in class. While general discussion of values is important, it must involve extensive consideration of examples, of value theory and principles and concrete issues. "There must be an ideal that acts as a framework that fosters plural, conditional, incompatible, and incommensurable values without advocating some specific value. The arena within which is played out all positive human interaction is freedom, the freedom to make defining decisions" (Rebore, 2004, p. 259). To increase student understanding and to translate the "talk" of leadership into practice, this educator has recently begun to research student understanding of the relationship of the "walk" of leadership with the "talk." Currently, students are developing "Talk/Walk" matrices that indicate how they will demonstrate the relationship between the beliefs held in their philosophies to the practice of leading others, and how those beliefs and practices are connected to values-held. The

students have brought their matrices to class on a periodic basis and have held discussions about which practices could most effectively fulfill philosophic beliefs, or which terminal and instrumental values seem linked to those practices. By exploring practices, perhaps values-held could eventually change, and eventually affect one's philosophy.

Adults have a strong interest in the outcomes of their behavior and will adjust their values and actions in the light of information about the consequences of behavior, often made available through instruction or socialization within surrounding communities (Beck, 1993). A fifth conclusion, therefore, is that instruction through various media or fieldwork can introduce people to different communities and to new ways of viewing reality. Durkheim viewed the relationship between the individual and society as dialectical; individuals participate in society's "science of moral matters" and thereby influence the development of the morality of the society which in turn influences them (1961, pp. 113). Future school leaders can be immersed in a different community, society or culture to assimilate the values of the socio-cultural environment through films and field-based projects. This instructor has used films or field projects when appropriate, but in the future will broaden the discourse to include one's values-held relative to the broader community and perceived community values.

The final conclusion, saved for last, is an assumption that links the other five conclusions: One must become open-minded to change, interested in self-improvement through a variety of creative means, cultivate sensitivity to values, and be open to the values of others (Quintas, 1989). "... [T]he establishment and understanding of values ... demands human collaboration" (Quintas, pp. 74-75), so the instructor needs to establish an open and safe environment of freedom to express one's reflections, and to encourage an acceptance of challenging, appropriately critically reflective dialogue.

In summary, six conclusions with educational implications were derived from this study. There is a need to get students to rethink values-held which leads to focusing class work on getting students to realize the depth of their beliefs and how those beliefs influence decision making. Second, educators of adult learners must understand and use andragogical approaches to develop leaders. Third, the instructor should accept, but build incrementally on students' value systems by expanding students' understanding that values are linked to belief statements and to decisions. Fourth, rethinking values is accomplished through dialogue rather than lecturing; values rethinking should be contextually linked to real problems. Fifth, an instructor has a responsibility to help students understand the consequences of their values-held relative to the broader communities in which they work and live. Sixth, the instructor must establish a free, open and safe classroom environment for the other five criteria to work.

FUTURE DIRECTIONS

There are implications from this study for future research and for creating learning environments that challenge the graduate student to reflect upon and think about deeply held values relative to the work of school leadership. With respect to future research, it would be interesting to compare pre-service administrators with practicing school administrators or to compare different levels of school administrators to ascertain if experience level or position is a variable that influences values; or perhaps to discern if leaders with particular value sets choose different administrative positions. It would also be interesting to survey several regions of the state, and nationally, to see if there are regional differences in leaders' terminal and instrumental values. Additionally, it may be of note to compare the results of school administrators to the values held by other professionals, for example, teachers, lawyers,

university academics, business executives, chemists, and so on, or to survey and compare mid-level managers or chief executives in different disciplines to school principals.

The greatest educational challenge, perceived by this instructor, is to create learning environments and activities in which students discuss and probe values linked to decisions and findings from field projects. This educator believes that an instructor of future leaders has a responsibility not only to provide activities that challenge adult learners, but to hold dialogue about the values underlying decisions and discoveries made within those activities.

Social historian and educator Cawelti (1970) noted that the functions of conventions (elements known by both creator and audience) and inventions (elements uniquely imagined by the creator, such as new ideas or forms) are both important to culture. Conventions help maintain a culture's stability while inventions help it respond to changing circumstances and provide new information about the world. While conventions represent familiar shared images and meanings and assert an ongoing continuity of values, inventions provide a new perception of meaning which we may not have realized before.

The values-needed for 21st century school leaders are about inventions. Educators of future leaders ought to be asking questions that include: What values do future school leaders possess? Can leaders' values be at odds with organizational values? More critically, can an organization's values be at odds with 21st century needs? Can educational institutions be so out of touch or so mired in the dense forest of testing and accountability that change is perceived as rocking the boat of stability? Preparing future leaders of schools is about challenging conventions; however, to challenge conventions, educators of future school leaders must begin with an understanding of the values of future leaders so that there will be a deeper understanding of where students can be guided. Educators of future school leaders must adopt an attitude of invention making, understanding the importance of their role in helping leaders hold or adopt the values-needed for challenging conventions.

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APPENDIX A

Rokeach Values Survey¹

Directions: Reflectively assess the following lists of end values and instrumental values. Rank order each list separately in order of importance to you, as guiding principles in your life (1 being your most dearly held value; 18, the value least important to you). Start with the end values; then do the instrumental values. (The end and instrumental values are listed in alphabetical order. There is no one-to-one relationship between end and instrumental values on this list.)

¹ This list of end and instrumental values, *The Rokeach Values Survey*, is the work of social scientist Milton Rokeach who studied values and how humans prioritize their values. Reference: Rokeach, M. (1979) *Understanding Human Values*, NY: The Free Press, 1979.

End Values

Beliefs about ultimate goals or desirable states such as happiness or wisdom.

- _____ a. *A comfortable* (prosperous) *life*
- _____ b. *Equality* (equal opportunity for all)
- _____ c. *An exciting* (stimulating/active) *life*
- _____ d. *Family security* (taking care of loved ones)
- _____ e. *Freedom* (independence and free choice)
- _____ f. *Health* (physical and mental well-being)
- _____ g. *Inner harmony* (freedom from inner conflict)
- _____ h. *Mature love* (sexual & spiritual intimacy)
- _____ i. *National security* (protection from attack)
- _____ j. *Pleasure* (enjoyable, leisurely life)
- _____ k. *Salvation* (saved, eternal life)
- _____ l. *Self-respect* (self-esteem)
- _____ m. *A sense of accomplishment* (lasting contribution)
- _____ n. *Social recognition* (respect and admiration)
- _____ o. *True friendship* (close companionship)
- _____ p. *Wisdom* (a mature understanding of life)
- _____ q. *A world at peace* (world free of war & conflict)
- _____ r. *World of beauty* (beauty of nature and the arts)

Instrumental Values

Beliefs about what we must do to achieve those end values, such as behaving courageously or responsibly.

- _____ a. *Ambition* (hardworking and aspiring)
- _____ b. *Broad-mindedness* (open-minded)
- _____ c. *Capable* (competent/effective)
- _____ d. *Cheerful* (light-hearted/joyful)
- _____ e. *Clean* (neat and tidy)
- _____ f. *Courageous* (standing up for one's beliefs)
- _____ g. *Forgiving* (willing to pardon others)
- _____ h. *Helpfulness* (working for welfare of others)
- _____ i. *Honest* (sincere and truthful)
- _____ j. *Imaginative* (daring and creative)
- _____ k. *Intellectual* (self-reliant, self-sufficient)
- _____ l. *Logical* (consistent, rational)
- _____ m. *Loving* (affectionate and tender)
- _____ n. *Loyalty* (faithful to friends and/or group)
- _____ o. *Obedient* (dutiful, respectful)
- _____ p. *Polite* (courteous and well-mannered)
- _____ q. *Responsible* (dependable and reliable)
- _____ r. *Self-controlled* (restrained, self-discipline)

Strategies for Transforming the Daily Work of Principals: A Study of Present Habits and Opportunities for Change

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Today's school principals are faced with the challenge of closing significant gaps between student achievement levels and accountability expectations under No Child Left Behind (Adams & Copeland, 2005). Effective school leadership can have a substantial effect on the improvement of teaching and learning (Wallace Foundation, 2006; Waters & Grub, 2004; and Waters, Marzano, and McNulty, 2003). Yet, a growing body of work revealed a chasm between the leadership skill sets required to close achievement gaps and the context of existing university preparation programs (Bellamy, Fulmer, Murphy, & Muth, 2007; Davis, Darling-Hammond, LaPointe, & Meyerson, 2005; Hess & Kelly, 2005; Levine, 2005). Fry, Bottoms, & O'Neil (2005) reported that university programs fail to provide "hands on" experiences that will prepare leaders to improve student learning.

As universities prepare students for new expectations of school leadership, it is essential to examine the contextual setting in which school leaders operate and how the internship experience can bring principals and principal interns together in assessing what needs to change and how to develop related strategies. In their development of a Framework for the Assessment of Learning-Centered Leadership, Porter, Goldring, Murphy, Elliot, and Cravens (2006) revealed that, "As long as leadership assessment continues to focus on the key values of the profession in the 20th century—maintaining stable operations and avoiding conflict—and is scaffolded on politics, management, governance, and organizational structure, our ability to develop a profession with leadership for learning at its core will be severely compromised" (p. 2). Thus it is relevant to engage students in the study of leadership practices in the context of their internship experiences and provide them with tools to navigate a more effective balance with greater emphasis on the improvement of teaching and learning.

PURPOSE OF STUDY

Placing student interns under the direction of principals carries a risk that they will observe and experience practices that are traditional in nature and disconnected from those that improve student achievement. This potential disconnect has significant implications for pre-service programs and the effectiveness of the internship experience in reflecting the shifting roles of the school principal in the improvement of teaching and learning. This study involved the engagement of student interns in action research with their assigned principals as well as fellow graduate students in examining three important questions:

1. How do principals spend their daily time?
2. To what degree are the daily activities of principals related to those that have been identified in the research as leadership practices that influence student achievement?
3. Can principals and principal interns identify strategies that will aid them in reducing daily time in non value-added work?

LITERATURE REVIEW

Leadership Influence on Student Achievement

The effects of leadership on student achievement come from three distinct sources of research (Leithwood, Louis, Anderson, & Wahlstrom, 2004). These include qualitative case studies, large-scale quantitative studies of overall leadership effects, and large scale quantitative studies of specific leadership practices. Each method points to varying degrees of direct and indirect influence on student achievement. Waters et al. (2003) conducted a meta analysis of leadership studies over a period of 30 years and identified 21 leadership responsibilities that contribute to improved student achievement. They reported that an improvement of one standard deviation in these practices by a school principal can bring about as much as a ten percent increase in student test results. Nettles (2007) reported that certain types of leadership practices have produced a direct impact on student learning, but also cautioned that they account for a small proportion of the total student achievement variability. Goldring, Porter, Murphy, Elliot, and Cravens (2007) developed a leadership assessment system that focused solely on the core components and key processes that were associated with student achievement. The components included high standards for student learning, rigorous curriculum, quality instruction, a culture of learning and professional behavior, connections to external communities, and systemic performance accountability. The assessment measured these components against key leadership processes of planning, implementing, supporting, advocating, communicating and monitoring.

How Principals Spend Their Time

School principals are faced with ever changing and expanding role responsibilities that consume their daily work and contribute to a complex set of expectations (Rayfield & Diamantes, 2004; Sergiovanni, 2001; Blendinger, Ariratana, & Jones, 2000). In a 2001 study conducted by the Milken Family Foundation, in collaboration with the National Association of Secondary School Principals (NASSP), 3,359 high school principals were interviewed regarding their work expectations and practices. The majority of principals reported that their daily time was consumed by parent issues, community-related tasks, discipline, and facilities management. Little of their time was left for instructional leadership. In a 2006 survey of 33 elementary principals from five urban areas, Adamowski, Therriault, & Cavanna (2007) reported that three-fifths of those serving in district operated schools, "Felt somewhat constrained in their ability to raise achievement" (p.17). In a study of 21 school principals, Shellinger (2005) concluded that the traditional structure of the school principalship does not allow for adequate time for instructional leadership.

Strategies to Shift the Daily Work of Principals

In response to the need to find greater time for principals to engage in instructional leadership practices, a variety of approaches have been implemented. Zeitoun and Newton (2002) identified six models that involve splitting the responsibilities of the principal with one or more professionals in order to free up time for effective leadership practices. Other approaches focused on strategies that included managing meetings, establishing priorities, delegating, handling interruptions, scheduling contacts and managing paperwork (Johnson, 1999). In their preliminary study of exemplary pre-service and in-service principal programs,

LaPointe, Meyerson, & Darling-Hammond (2006) reported that principals were more likely to engage in daily or weekly practices that included: leading student learning; developing professional learning communities; guiding instructional improvement; enhancing teacher professional development; and using data to inform school improvement. They were less likely to frequently engage in: facilities management; school safety and discipline; attendance at district meetings; and, collaboration with external agencies, parents, and community.

METHODS

Participants

Participants included 149 graduate students enrolled in the fall 2006 or fall 2007 semester of internship of a pre-service program for school principals. Additionally, all students were enrolled in a course on the roles of the school principal during the same semester. Students were exposed to an extensive review of literature related to the relationship of leadership practices to the improvement of teaching and learning. Of the total, 40% worked in high schools, 26% in middle schools, and 34% in elementary schools. Fifty-three percent of participants completed their internships in suburban schools, with 31% in rural and 16% in urban school settings. Among the students, 67% were female and 33% were male.

Instrumentation and Data Collection

Data collection occurred in three phases. First, interns used an open ended form to record all of the daily leadership practices they observed their campus principals perform over a three week period. In a follow up interview, interns shared their findings with their principals and collaborated on additions to and clarifications of tasks and responsibilities performed in the principalship. Second, a four-point Likert scale was developed by the researcher to facilitate the analysis of the degree to which each of the leadership practices identified, bear a relationship to those that improve teaching and learning in schools:

Weak (1): bears little or no relationship to the improvement of teaching and learning. These tasks are traditional; managerial; and do not require knowledge of curriculum, instruction, and assessment. These are usually operational in nature and routine in delivery.

Mild (2): bears some relationship to the improvement of teaching and learning. These tasks support the structures and processes that build the school's capacity for improved learning, but fall short of direct involvement in collaborative work with teachers to improve instruction.

Moderate (3): bears a relationship to the improvement of teaching and learning. These endeavors demonstrate daily efforts to support the instructional process through direct contact with students and teachers in the instructional setting. They are grounded in collaborative work with teachers to improve curriculum, instruction, and assessment.

Strong (4): bears an influential relationship to the improvement of teaching and learning. These efforts demonstrate innovative thinking that supports the instructional process. They require a deep understanding of curriculum, instruction, and assessment.

Face validity was established based on: (a) a review of the literature on leadership practices that influence student achievement, (b) feedback from graduate interns, and (c) input from school principals. Interns used the scale to independently analyze the lists of tasks and responsibilities collected. Third, interns and their principals engaged in the identification of strategies that school principals could employ in order to reduce daily time in practices that

add little or no value to improved student achievement. Interns were asked to develop strategies around four action categories: eliminate, delegate, restructure or enhance the identified practice.

Collaborative Analysis of Data

For the analysis of how principals spend their time, interns shared their lists of leadership practices and collaborated on the identification of categories that emerged from the data. The categories were used to sort all of the data into common areas of leadership practice. Duplicates were eliminated and when items appeared to not easily fall into a category, a consensus process was used to determine where to place the item. In cases where several items could not be categorized but appeared to be related to each other, a new category was established. Interns also collaborated in teams and with their principals in the identification of strategies to reduce daily time devoted to practices that had little or no impact on the improvement of teaching and learning.

RESULTS

Daily Practices of Principals

Interns and their principals identified a total of 385 leadership practices that were common to the school principalship. Ten categories emerged from the data. No single principal was reported to have practiced all of the specific items under each category, but in most cases, invested time in all of the ten areas over the course of the three weeks of data collection. Although the frequency of occurrences was not recorded, the breadth of the number of specific practices under each category suggested that principals engage in a large variety of tasks and responsibilities reflected in the literature. See Table 1.

Influence on Improved Teaching and Learning

Using the four-point scale, interns rated the majority of specific leadership practices under eight of the ten categories as weak, (bearing little or no relationship to the improvement of teaching and learning). Only work under the categories of special education and 504s, and instructional leadership received a majority of ratings in the mild, moderate and strong columns. Seven of the categories contained 93% or more of their ratings in the weak/mild columns. The mean scores of the ratings revealed that practices associated with staff issues, special education and 504s, and instructional leadership were substantially stronger than the other seven areas of practice.

Strategies to Change the Daily Work of the Principal

Interns and principals identified multiple strategies to eliminate, delegate, restructure or enhance practices in order to spend more time in areas that improve teaching and learning and reduce time in those that do not. Some participants decided to eliminate practices such as conducting morning announcements because they realized that cut into important instructional time. In other strategies, they restructured duties such as event supervision and delegated these to others, with the appropriate amount of authority and responsibility. If participants wanted to enhance a practice such as classroom observations, they expanded their efforts by

Table 1. Daily Practices of Principals.

Leadership Practice	Examples	Numbers of Specific Practices
Facilities and Services Management	Maintenance, custodial, parking lot, food services transportation, technology	56
Fiscal Management	Budgets, purchasing, fundraising,	22
Safe and Orderly Environment	Discipline, attendance, campus security, nursing services, supervision of students	37
Administrivia	Paperwork, grade cards test administration, room scheduling	54
Event Supervision	Extracurricular events, athletics, music programs, school performances	27
Parent and Community	Meetings, PTA, open house, Booster Club, Band Parents, parent support groups, parent conferences	28
Communication	E-mails, phone calls, mail, newsletters, news media	44
Staff Issues	Personal issues, substitutes, faculty meetings, staff meetings	43
Special Education and 504	Special Education meetings, meetings with Special Education staff, review of IEP and 504 plans	30
Instructional Leadership	Observations, PLC meetings, walkthroughs, data analysis, curriculum work, teacher collaboration	44
Total		385

Table 2. Analysis of Leadership Practices and Their Relationship to Improvement of Student Achievement.

Leadership Practice	Weak 1	Mild 2	Moderate 3	Strong 4	Mean
Facilities and Services Management	89%	9%	2%	-	1.13
Fiscal Management	83%	11%	4%	2%	1.25
Safe and Orderly Environment	77%	18%	4%	1%	1.29
Administrivia	75%	19%	5%	1%	1.32
Event Supervision	70%	26%	4%	-	1.34
Parent & Community	68%	25%	5%	2%	1.41
Communication	65%	29%	5%	1%	1.42
Staff Issues	50%	31%	14%	5%	1.74
Special Education and 504	45%	36%	15%	4%	1.78
Instructional Leadership	12%	23%	39%	26%	2.79

conducting frequent classroom walkthroughs and providing teachers with feedback. Many strategies were replicated by independent teams of interns and principals who worked collaboratively to design them. Other strategies varied according to criteria that emerged from the data. For example, school culture had an influence on the type of strategies employed to reduce the time principals spend on school discipline. In cultures where the principal and assistant principal were perceived as the key providers of order and discipline, the strategies focused on how to engage the faculty in greater ownership of this responsibility. In other situations, strategies appeared to be influenced by the level of autonomy that the principal possessed. For example, the principal's presence at athletic events was a strong expectation in some school settings, while in others, interns and their principals identified strategies that would significantly reduce the time invested.

SUMMARY AND CONCLUSION

Findings revealed answers to each of the three research questions. First, principals and their interns identified ten major categories of daily tasks and responsibilities that consumed the time of the principalship. The breadth of work under each category was considerable and caused many participants to conclude that the roles of the school principal are too extensive and disjointed. Second, principals and interns identified that most tasks and duties performed had little or no relationship to what they understood as leadership work that influenced the improvement of teaching and learning. Third, given the opportunity to collaborate on strategies to reshape the daily work of principals, participants were able to target practices that

should be eliminated, restructured, reassigned or enhanced, based upon the need to shift more daily time of the principal to delivery of instructional leadership practices.

This study replicated several issues associated with the plight of school principals identified in the literature review. It examined how principals invest their daily time using an action research process that engaged 149 interns and their school principals. It provided a platform for both parties to evaluate duties and responsibilities that are expected, yet dominate the workday and contribute little to improved student achievement. Through an analysis of the relationship of specific work responsibilities of the principal to those identified in the research as influential in the improvement of teaching and learning, principals and principal interns collaborated on how to be strategic in the use of their time. It offered a process for principals and those aspiring to the principalship a means of shifting the daily work of school leaders away from managerial tasks toward collaborative work with teachers. Whether or not this process produces improvements in teaching and learning is yet to be determined. A follow up study of interns and principals trained in this process may provide answers to the following questions:

1. Can principals use a process to make significant changes to their daily work habits?
2. Can changes to the roles of a principal be sustained over time and contribute to improved teaching and learning on a school campus?

Findings of this study indicated that school leadership interns engaged their principals in a process that recognized the breadth of roles and responsibilities of the principalship, yet examined how to invest daily work to maximize effectiveness in meeting the demands of school accountability and improved student learning.

Finally, an important issue for faculty of pre-service internships in the principalship is one of outcomes of their work to improve school leadership. If principal interns are assigned to schools where principals spend a large portion of their time in areas that have no or little impact on improving teaching and learning, will they be able to break from tradition and use the new tool sets they have acquired in their formal training from the university? This study introduced a process to engage principals and their interns in action research that focused on this important issue.

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Context Matters: Lessons Learned from Successful Superintendents about Preparation, Practice, and Professional Development

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INTRODUCTION

That context influences leadership behavior is not new or surprising to those well versed in the literature on education leadership. Situational leadership studies and contingency theory have provided a useful foundation for examining the geographic, political, demographic, organizational, cultural, and psychological dimensions of context and how they influence the ways that leaders, in this case superintendents, think about and carry out their work. Superintendents who understand, and effectively respond to their contexts, can enjoy a greater sense of efficacy, job satisfaction and increased longevity in the position. On the contrary, their failure to understand context and its influence on their leadership can have negative outcomes for both system goals and superintendency tenure. An understanding of this intersection of context and superintendent leadership is, therefore, essential for practitioners, school boards, university administrator preparation faculty, and policymakers. In particular, superintendents require strategies for dealing with the dynamic contexts that characterize their daily work. Yet, how superintendents best learn and can be taught to identify and respond to their unique and dynamic contexts is less well understood. One scholar recently noted a major gap in leadership research. Orr (2006) stated, “Insufficient research exists on how superintendents can be better prepared through improved preparation and socialization and how recommended leadership development and adult learning strategies can contribute” (p. 1369).

Our intention in this paper is a modest one. First, we begin with a review of literature on superintendents, leadership, and context. Next, we briefly describe findings from an empirical investigation of successful superintendents in Sweden and the United States (Bredeson, Klar, & Johansson, 2007) and describe our emerging theory of context-responsive leadership. In the final section of the paper, we suggest a framework for the preparation and professional learning of superintendents.

BACKGROUND: SUPERINTENDENTS, LEADERSHIP, AND CONTEXT

Authors of reports on accountability systems across the United States cite leadership, especially as exercised by school superintendents, as a major influence on the attention given to, time spent on, and school/district responsiveness to greater demands for accountability for student/school performance outcomes (Fuhrman, 2003; Goetz & Massell, 2005). Other researchers have documented the work priorities, preferences, and tasks of superintendents

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(Bjork & Kowalski, 2005; Bredeson & Kose, 2007; Bredeson, Kose, & Johansson, 2004; Cooper, Fusarelli, & Carella, 2000; Glass, Bjork, & Brunner, 2000; Glass & Franceshini 2007; Johnson, 1996; Petersen & Barnett, 2005; and Orr, 2002; 2006).

In other descriptive studies researchers have documented common elements in the work of superintendents. For example, regardless of school district size, superintendents cited financial issues as the most challenging problem(s) they face (Bredeson & Kose, 2007; Bredeson, Kose, & Johansson, 2005; Glass et al., 2000; Glass & Franceschini 2007). Yet we are reminded that,

The superintendency is so very different from district to district that making generalizations is hazardous. In fact, there is no such thing as the *superintendency*; instead, there are many superintendencies. Often they are more unlike than like each other (Glass et al., 2000, p.15)

As Kowalski (personal communication, Nov., 17, 2007) argued, “The more research I do on the superintendent, the less inclined I am to generalize and that is due to context.” Thus, it seems reasonable to assert that, despite similar tasks and functions commonly used to describe the work of school superintendents, each district leader enacts his or her administrative role uniquely given such factors as district size, community demographics, organizational culture, history, geography, and local political realities, not to mention individual personalization of the role.

There is general acceptance among scholars that context matters in terms of leader behavior and its outcomes. That said, Hargrove and Owens (2002) reminded us, “The boundaries of possible action are set by context, but there is flexibility within the boundaries” (p. 199). Gronn and Ribbins (1996) also made a strong case for studies of context and leadership,

Context continues to be badly under-theorized in leadership, but that, if re-conceptualized as the sum of the situational, cultural, and historical circumstances that constrain leadership and give it its meaning, context is the vehicle through which the agency of particular leaders may be empirically understood (p. 454)

In three studies on school principals, investigators described the effects of context on leaders and on their behavior. Dempster, Carter, Freakley, and Parry (2004), for example, reported that principals were often ill-prepared to deal with micro-contextual influences and macro-contextual influences when confronting critical decisions and stated, “Decentralization, intensification, and complexification are now all part of the contemporary school context and that context is figuring prominently in the way principals go about their decision-making” (p.164). Hallinger (2003) came to a similar conclusion about the importance of context when studying the work of principals. He stated, “We concluded that it is virtually meaningless to study principal leadership without reference to context” (p. 346).

Mitchell and Castle (2005) reported that any examination of the impact of context on principal leadership must include more than conditions of site, population, purpose, and activities. They stated, “We have come to see that context goes deeper than physical phenomena. It also speaks to the tacit agreements and implicit psychological contracts—between principals and other members of the educational community” (p. 428).

Organizational and social psychologists also have provided insight into the relationship between leader behavior and context,

Several scholars maintain that leadership resides in the eyes of followers. If they are correct, then context may be a critical determinant of what followers see—acting as a lens that brings into focus those qualities that are consistent with their implicit theories and romanticized notions of what it means to be a leader (Emrich, 1999, p.1004)

Vroom and Jago (2007) argued, “Variance in the behavior [of leaders] can be understood in terms of dispositions that are situationally specific rather than general” (p. 220). We concur with Vroom and Jago who concluded,

The task confronting contingency theorists is to understand the key behaviors and contextual variables involved in this process. Looking at behavior in specific classes of situations rather than averaging across situations is more consistent with contemporary research on personality and more conducive to valid generalizations about effective leadership. If...then ...relationships are not only at the core of attempts to understand what people do but are also the basis for attempts to understand what leaders should do (p. 23)

Contingency theories, the “merger of trait and situational approaches” according to Hoy and Miskel (1982, p.222), hold that the contextual arenas in which leaders operate can be pre-determined and can, therefore, be matched to a leader with a complementary style. According to traditional contingency theory, under one set of circumstances, one type of leader is more likely to be effective, while under another set of circumstances a different type of leader is required. (Hoy & Miskel, 1982; Spillane, Halverson & Diamond, 2004).

While this view may be useful for predicting which type of leader will be effective in a particular situation, it does not take into account the dynamic nature of the environments in which educational leaders function. Therefore, we advocate a more context-responsive view of leader behavior in which leadership is expressed through action, not a taxonomy of preferred characteristics or a predisposed style. From this perspective, leaders who employ context-responsive leadership strategies recognize that contexts vary, both enabling and constraining their behaviour. Additionally, they know how, when, why, where and what to push back to re-shape the context to achieve their long-term goals. Next, we briefly review the findings from our study of successful superintendents to provide greater detail of context-responsive leadership in action.

METHODOLOGY

Employing qualitative research methods, we designed an interview study to examine the leadership of superintendents as understood and expressed in the words of these experienced administrators. Structured, in-depth interviews, lasting from 90 minutes to two hours, were conducted (between February and August) 2007 with 12 successful superintendents, 6 in Sweden and 6 in Wisconsin. We defined a successful superintendent as one who had been identified and recognized by his or her colleagues (e.g. superintendents, professional association leaders, and university faculty) as a highly effective district leader. All interviews were conducted in English, audio-taped, and transcribed for analysis.

The cross-national nature of the study was important because the socialization experiences, pre-service preparation, and career paths of school superintendents are substantially different between Sweden and the United States. Thus, the sample of

superintendents permitted us to look across these national settings for common themes and provided two distinct settings for understanding the socialization processes for superintendents including recruitment, preparation, and on-going professional development.

FINDINGS

To begin, our emerging theory of context-responsive leadership builds on existing theories of leadership already well documented in the field of educational leadership and leadership studies more broadly. In doing so, our purpose is to move beyond simple matches of leader style to tasks, followers, and situations. These successful leaders employed a complex mix of knowledge, skills, and dispositions we identified as context-responsive leadership (CRL) moving their organizations forward with collective purpose, vision, and goals. As indicated by the results of our study, effective leaders engage in a fluid conversation of practice in dynamic, interactive contexts. Furthermore, the context-responsive view of leadership more aptly accounts for educational leaders' anticipatory and responsive engagement with their respective contexts. We wanted to better understand how leaders interact and participate in context in ways that simultaneously affect leader behavior as well as shape and/or respond to various elements of context.

Our findings confirm that these superintendents were indeed successful leaders. Despite the success they enjoy in their roles, however, none revealed much about his/her leadership behavior or perspectives when asked what they hoped their colleagues would describe about their leadership. As one superintendent noted, "It's not about me." Some superintendents indicated they would like to be known for such personal leadership qualities as generosity, honesty, forthrightness, caring, and creativity; however, the true indicators of their individual leadership capacity emerged when they described their interactions and relationships with others to achieve organizational goals, reinforcing the distinction that leadership absent context is meaningless.

A Leadership Paradox: Superintendents' Work is Both Similar and Different

During the interviews, some respondents told us there were more similarities than differences in their work as school superintendents; however, upon further investigation, it became apparent that, while there were indeed a number of similarities in the primary work tasks and responsibilities attached to their formal roles, respondents' personal expressions of leadership, in concert with their unique contexts of practice, provided illustrative differences in their leadership actions. Differences in national traditions, political/governance structures in education, geography, organizational culture, and demographics notwithstanding, the leadership demonstrated by the superintendents in our study can be characterized by three main themes.

In the first theme, the focus of their professional work centered on children and young people. Each superintendent endeavored to keep their systems and their processes child-centered. The second theme focused on the district vision and mission. Given that change and uncertainty were constant companions of these superintendents, each worked to clarify, communicate, and protect a collective vision and mission dedicated to the care, nurture, and development of all children. Their clearly-focused visions also helped these superintendents shape the context of their professional work, and push back against the influences of special interest groups, irrelevant political diversions, and fiscal constraints. In all cases, their efforts resulted in the formation of a clear, positive framework which provided direction and support

for others. The third theme related to the importance of establishing trust and meaningful relationships with people both inside and outside the organization.

While all 12 of the superintendents focused on student success and achievement, US superintendents were much more focused on student achievement and measured academic performance than were their Swedish counterparts. This seemed to be due to the strong influence of standards-based accountability systems in the United States, which are currently much less prevalent in Sweden. All of our superintendents described helping to establish an educational vision and agenda for action, while 11 described supporting the development and growth of principals, team leaders, and other staff to build organizational capacity. Eleven superintendents described dealing with various internal and external political forces, while ten described developing relationships among internal staff, external stakeholders, and school board members.

Though differences in general administrative tasks were not initially apparent, they became manifest in leader intent and interactions within various situations of practice. In each case, our leaders utilized these tasks as opportunities to express their leadership values and purpose to engage others to work toward a collective vision.

When pressed, superintendents identified five areas in which there were differences between their work and that of their neighboring counterparts. These included school district size, superintendent tenure in the district, geographic location of the district, the relationship established between the superintendent and school board, and local/organizational culture (Bredeson et al., 2007).

In the area of fiscal management, major differences between Swedish and US superintendents were found. Only one Swedish superintendent indicated this was a major challenge, while all six American superintendents did so. Revenue caps in the state of Wisconsin and declining enrollments in numerous districts have resulted in many superintendents having to focus on the management of decline. In Sweden, however, a vibrant economy and a more favorable funding structure have, to date, spared these superintendents significant deliberations over the budgetary management in their districts.

A Framework for Understanding Context-Responsive Leadership (CRL) in Action

These 12 superintendents have learned to understand and integrate effectively 5 intersecting and interactive dimensions of CRL—*personalized role, professional knowledge, purpose, people, and place* (see Fig. 1).

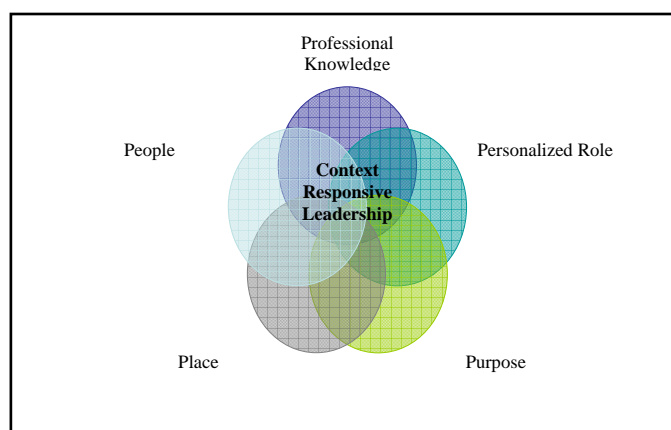


Figure 1. The CRL Framework.

These superintendents were not the proverbial managers dressed in gray flannel suits. The six female and six male leaders *personalized* and constructed the role of superintendent by bringing their unique biographies, values, and diverse perspectives to this executive leadership position. These superintendents also had deep *professional knowledge* about education, teaching and learning, and the processes, policies, and politics needed to make their child-centered school systems highly successful. Another quality of these context-responsive leaders was the clear sense of *purpose* in their work. They expressed deep moral commitment to education and were passionate about the importance of schools and their work in them in a democratic society. Each understood the larger societal picture of education yet never lost sight of children and their learning and development. Much of the superintendents' work is accomplished through and with others. Establishing trusting and lasting relationships with *people* both inside and outside the school system was critical to their success as leaders. This should not be surprising given that much of their own preparation and development as leaders was anchored in social interaction and social learning. Perhaps this also explains their preference for active learning through social interaction. These context-responsive leaders were keenly aware of *place* including a sense of history, the timing of actions and choices, geographic locations, as well as community and organizational cultures.

Becoming Context Responsive Leaders: Socialization and Professional Learning

If CRL is what characterizes the success of these superintendents, how do both aspiring superintendents and practicing administrators become such leaders? Which learning environments and socialization experiences support the development of context-responsive leaders? We use the CRL Framework as a heuristic to consider the array of socialization experiences and formal teaching/learning strategies that help aspiring leaders acquire the skills of a context-responsive leader. We end with a brief description of environmental conditions that support the learning and professional development of context-responsive leaders.

DISCUSSION

CRL practices are grounded in a complex mix of knowledge, skills, and dispositions. Mapping the knowledge base of education leadership preparation and practice has been pursued by scholars and practitioners for decades. Each of these efforts to map the knowledge domains of education leadership has influenced our thinking about the design, content, and delivery of leadership preparation programs and on-going professional development for school leaders. Maps, whether they depict geographic spaces or professional knowledge domains, are helpful in organizing essential features and in providing direction. Yet, they are only partial representations of reality; they are not isomorphic to it.

Historically, representations of knowledge domains for education leadership have primarily been depicted as categories of propositional knowledge in various taxonomies, models, frameworks, and more recently in standards specifying knowledge, skills, and dispositions. Though recognized, other forms of leadership expertise, including procedural/process knowledge, personal knowledge, and tacit knowledge, tend to be marginalized in these representations. Thus, at the outset, we recognize the inherent limitations in any two-dimensional or narrative representation of CRL. We admit that it lacks

the dynamic interactive qualities, personal agency, and fluidity of CRL in action. Having said that, we believe our graphic organizer provides a framework that captures the essential interactive elements of CRL so that it can be understood, learned, and realized in practice.

Helping aspiring leaders become context-responsive leaders requires us to work toward authenticity in the content, design, and delivery of pre-service preparation programs and on-going professional development. As Eraut (1994) reminded us, the learning environments created need to be more than pallid imitations of real context, with real people and events. The preparation of context-responsive leaders requires a rich blend of authentic content delivered in an array of formal and informal learning environments.

Given the complexity of CRL and the nuances of such practical wisdom in action, we would argue that the learning and development involved in becoming such a leader are grounded in a discernible, if not altogether predictable, educational journey of professional socialization. Using data from 23 focus groups of superintendents Orr (2006) identified the types of formal and informal leadership preparation, support, and socialization experiences that these administrators believed were beneficial. These included: a) *formal learning*- such familiar coursework as law, organizational theory, politics, structured internship experiences, and a variety of process skills, b) *informal learning*- experiences including mentoring, coaching, and networking with other superintendents, c) *job-embedded learning*- including trial and error, baptism by fire, and organizational socialization, and d) *on-going professional learning*- in conferences, workshops, reading, meetings, and seminars.

Hart and Bredeson (1996) provided a process model of socialization identifying five distinct stages. These include a) antecedent conditions (personal characteristics, biography, and prior experiences), b) anticipatory socialization (pre-service preparation/training), c) professional socialization (learning the role of superintendent), d) organizational and situational socialization, and e) becoming context responsive leaders. Implicit in this process model of socialization is that the many factors contribute to superintendents' development. What becomes glaringly obvious is that much of the learning to become context-responsive leaders occurs outside of university-based preparation and certification programs. This does not diminish the importance of formal graduate training programs. However, it does suggest that faculty need to understand how recruitment of candidates into their programs can build on and complement prior socialization experiences. This includes greater attention to antecedent conditions and prior experiences that may be much better predictors of success in leadership preparation programs and the potential to become context-responsive leaders than admission into training programs based primarily on self-nomination, undergraduate grade point averages, and standardized test scores.

CONCLUSION

In terms of formal preparation for superintendents in Sweden and the United States, there are two distinct patterns of professional socialization. Experiences of Swedish superintendents in this study provide evidence of the benefits of professional socialization anchored primarily in on-the-job learning and in-service education. In contrast, superintendents in the US are prepared in university-based, pre-service training programs, which traditionally begin with a high concentration of university-based coursework, with some field-based experience. As US superintendents enter the field, their professional socialization learning relies increasingly on job-embedded learning, professional development and social interaction with professional colleagues.

Whatever the mix of formal and informal socialization experiences to develop context-responsive leaders, we agree with Eraut (1994) that to nurture and develop this capacity five conditions must be taken into account. First, there is recognition that the socialization of context responsive leaders requires an appropriate combination of learning settings (e.g. on-the job, outside of work, at home, in conferences, and in formal university preparation programs). Second, professional learning takes time. Much of what context-responsive leaders know is a product of years of socialization and study. In addition, there must be time away from work to learn, time to study, time to consult and interact with others, and time to reflect on the content and its meaning. Third, suitable and available learning resources are needed including texts, tools, and new technologies. Fourth, social learning and social interaction are primary vehicles for professional learning. Thus, aspiring as well as practicing superintendents need supportive people around them who are willing and able to support their learning by listening, interacting, providing feedback, coaching and mentoring. Fifth, individuals who want to become context-responsive leaders must be motivated to learn and open to the array of learning experiences in their daily routines and work.

As context-responsive leaders, the superintendents in this study drew upon knowledge, skills and dispositions acquired from a combination of life experiences, university-based preparation programs, on-the-job learning and in-service preparation. They have learned to integrate effectively the five intersecting and interactive dimensions of the CRL Framework: personalized role, professional knowledge, purpose, people, and place.

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Testing Theory to Explain and Solve the Head Start Fade (The Fade Phenomenon)

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Charles M. Achilles

ABSTRACT

Theory often drives best practice until empirical evidence demonstrates the theory's validity. Much research and theory have coalesced around how and why small classes improve K–3 processes and outcomes, especially for children in poverty. In the present study, researchers considered one connection between empirical evidence and evolving theory.

Since 1970, the “Fade Effect” has puzzled educators. Researchers synthesized requirements for Pre–K evidence-based outcomes paired with early elementary long-term, small-class outcomes, generated theory to explain the Fade, and then tested the theory: “The Fade will decrease if conditions for long-term, small-class results are applied to Head Start through grade four.” Treatment conditions were: (a) *early intervention* (Pre–K or K), (b) *duration* (three or more years in reduced class size), and (c) *intensity* (same teacher for academic subjects all day at each grade level), and (d) heterogeneity.

A pilot test using retrospective data to track students 2001–2002 provided empirical evidence that students meeting the theoretic conditions had diminished Fade when compared to the following: (a) state grade-four proficiency levels and (b) peers not meeting theoretic conditions. Researchers used existing Pre–K, Head Start, and small-class grades K–3 data to refine the theory.

SETTING THE STAGE

Education administrators are charged with organizing the schooling process to improve education opportunities for children. American educators have long been challenged by two conundrums: (a) Head Start Fade since about 1970 and (b) Bloom's (1984) two sigma problem, finding methods of group instruction as effective as one-on-one tutoring. Professional knowledge has grown over the years, and education improvement efforts should employ judicious use of new knowledge. Why then does the Head Start Fade persist, and why have educators not used newly available data and theory to answer Bloom's (1984) two sigma problem? How is one problem related to the other?

THE HEAD START FADE PHENOMENON

The Head Start Fade has troubled American educators, particularly because of education's continued failure to meet the education needs of impoverished students. Children pay a hefty price for living in poverty. Cooley (1993) highlighted that only three poverty-related

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conditions accounted for more than 60% of the impact of poverty on achievement. The greatest impact is realized for the nation's poor children, a gap Head Start was created to close. Research on the burden of poverty in children has been constant as shown in the work of Hodgkinson (1992, 2003), Rothstein (2004), and many others. Yet the Fade remains unabated.

As used here, the "Fade" means that although they have had an early year of schooling, Head Start participants do not show a measurable difference in grades two, three, and four schooling outcomes when compared with peers who did not attend Head Start. The data suggest the following: a) Head Start participants may not master readiness skills required for success in schooling and/or b) Subsequent schooling experiences in kindergarten (K) and early grades (1–3) do not reinforce Head Start.

Until now, emphasis has been on evaluating Head Start outcomes. The present study was a pilot test of the second alternative, theories related to subsequent conditions. Early evaluations showed small gains in achievement for Head Start children in vocabulary and pre-reading skills (Jacobson, 2007). "Though some participants show increased gains in I.Q., the positive effects fade or completely disappear by third grade in most programs" (Barnett, 1993, p. 40). Impoverished children who enter school behind their peers in language and math skills significantly increase their education risk in primary and later grades (Rothstein, 2004). Maylone's (2002) research on poverty and achievement showed that children in a wealthy district in Michigan with a median income per family of over \$132,000 obtained predictably higher on the grade-four Michigan Education Achievement Program (MEAP) over peers for whom the average income per family was \$53,000.

EARLY RESEARCH AND EVALUATION RESULTS

The Westinghouse Learning Corporation completed the first national Head Start Evaluation study in 1969. Evaluators assessed results from students enrolled in Head Start summer programs for the years 1965, 1966, 1967, and 1968. No pretest was given because of the students' age and development. Using two tests of cognitive ability, researchers tested 148 Head Start children and a comparison group of children not enrolled in Head Start using two tests of cognitive ability. Though problems with validity were noted, results showed that children not enrolled in Head Start outscored those children enrolled in the program. The stark results prompted authors to conclude: "Results from the summer program are so negative that it is doubtful that any change in design would reverse the findings" (Cicirelli et al., 1969, p. 245 as cited by Magidson & Sorbom, 1982, p. 321). Examination of subtest results disaggregated by socio-economic status (SES) showed that children who scored better on the tests came from higher SES backgrounds. Later reviews of the data yielded more moderate results. As reported in Magidson and Sorbom (1982), Head Start summer programs had small beneficial outcomes.

Head Start programs were initially designed from the theory that a child's self-concept and family relationships had the greatest influence on achievement. Later research has shown that early programs probably had the theory wrong (Shapiro, 1982) and that the underlying theory was misguided (Cicirelli et al., 1969 as cited by Shapiro, 1982). The early theory proposed that improving a student's self-concept would improve achievement. Later research (e.g., the Student Teacher Achievement Ratio [STAR, 1985-1990] longitudinal experiment) showed that improved achievement strengthened self-concept as measured by the SCAMIN test (Word et al., 1990).

Since the 1970s, reports on achievement in most Head Start programs showed little gain and a lack of long-term outcomes. Decades of reports nationally on Head Start and Pre-K programs such as those from the Department of Health and Human Services (DHHS, 2003) showed results similar to those explained by Barnett (1995, 2003) and others.

Over the years, however, other Pre-K programs like Head Start have been developed from research and theories and have provided gains to suggest the Fade may not have to exist. Early childhood research and development has engendered some programs that have demonstrated significant gains in Pre-K and Head Start-age children. Examples include the North Carolina Abecedarian program (Ramey & Ramey, 1989), the Perry Child Development Center (PCDC) program in Michigan (DHHS, 2001, 2003), and the Chicago Child and Parent Centers or CCPC (Barnett, 1995; Reynolds, Temple, Robertson, & Mann, 2003). These Head Start and Pre-K programs provide theories supported by significant, empirical, long-term gains for students where little or no Fade was evident during grades K-3. These positive effects have been evident for children living in poverty and for minorities.

Research results provided in K-3 early childhood studies such as those in the empirical research-based 1985-1990 STAR experiment (Word et al., 1990) and other studies of small classes have exposed an evidence-based, underlying theory that offers a fresh look at viable options to explore, moderate, and /or eliminate the Fade effect, especially for children living in poverty and minority students. The STAR experiment and related class-size studies have shown significant longitudinal gains from a randomized experiment. In STAR, students and staff were randomly assigned to one of three class conditions: the small class (n=13-17 students) outperformed peers in the larger classes (n = 22-25 students), as well as those in larger classes with a full-time teacher aide. STAR small classes showed gains of four to six months beyond larger classes at each grade level and demonstrated even larger gains for minority students (Finn & Achilles, 1999), as well as improved performance and student behavior (Finn, Pannozzo, & Achilles, 2003). STAR researchers have shown that the small class groups had increased enrollment in high-school advanced classes and higher graduation rates. Problems in the Head Start research designs and potential solutions to the Fade became evident when these robust class-size research and evaluation outcomes became available.

A Pilot Test of Reducing the Fade Effect

The STAR experiment's small-class results highlight the elements of successful transitions for children from Pre-K to K-3 programs. Reports from the Family Child and Education Study (FACES, 2001) suggested that these same elements might occur in transitions from Pre-K to K-3 and might mitigate the Fade effect. Theories drawn from effective Pre-K, Head Start, and other coherent programs were investigated in a small study (Clarke, 2007). Results suggested a new direction to take to moderate the Head Start Fade. The study highlighted a small group of Pre-K (Head Start) through grade three and four students who began early intervention in Head Start programs similar in design to exemplars like the Abecedarian, PCDC, and CCPC programs. These students then entered small-class programs in grades K-3 similar to STAR that provided coherence (Newmann, Smith, Allensworth, & Byrk, 2001, and a psychological sense of community or PSOC (Sarason, 1974).

The retrospective predictive study (Johnson, 2002) was conducted using data from 1999-2007 three Michigan districts. Unfortunately, there was considerable subject mortality because of changes in state testing and reporting formats, gaps in community-based Head Start records that were lost in transitions to K-4 school-based programs, and uneven use of small-class models like STAR and small-class case studies such as Burke County, North

Carolina (Egelson, Harmon, Hood, & Achilles, 2003), and the Wisconsin Student Achievement Guarantee in Education or SAGE (Molnar, Smith, Zahorik, Halbach & Ehrle, 1999).

CONNECTING THE DOTS

Children who do not achieve grade-level reading and math skills by the end of grade three often drop out of school and continue the vicious cycle of intergenerational poverty. “When the school readiness level of the nation’s poor children was assessed, it became clear that Head Start has not eliminated the gap in educational skills and knowledge needed for school success” (DHHS, 2003, p. 1). However, some early childhood evaluations have provided robust empirical data on Pre-K and Head Start-type programs in which little to no fade was evident and for which achievement on achievement tests and long-term gains for participants are evident. In the Head Start national research and evaluation studies (DHHS, 2003) and in Barnett’s reports (1993, 1995) of 10–11 large-scale preschool and Head Start studies, three programs, the Abecedarian program in North Carolina for children age 0–5, the Chicago Child Parent Centers (CCPC) for children ages 3–9, which showed persistent increases, and Michigan’s Perry Child Development Center (PCDC) study for three- to four-year-old children showed a small fade effect initially but later reported longitudinal gains with reductions in grade retention and special education referrals. Barnett (1993) conducted a cost-benefit analysis of the PCDC and found that of five studies only Perry showed persistent increases in achievement data with significant follow-up, low attrition, and real-life outcome measures. Longitudinal studies showed significant gains in achievement, high-school graduation, and college enrollment over peers not enrolled in these programs. Similar outcomes were found in the comprehensive Head Start study report (DHHS, 2003), which had examples of both successful and weak programs.

The Michigan School Readiness Profile (MSRP) five-year follow-up study found that four-year-old children living in poverty had success in closing the gap in student achievement and was reported to have saved the state \$11 million a year in the cost of grade-level retention and special education services as a result of gains in grades K–3 (Xiang & Schweinhart, 2002). Compelling data from empirical research and theory suggest a solution to the Head Start Fade. A theoretic solution can be derived by examining and using the common factors of successful early education programs, and the longitudinal gains associated with small-class research like STAR, SAGE, and Burke County, NC.

For example, the STAR experiment provided data to support theoretic positions advanced by Ramey and Ramey (1989) in the Abecedarian study. Results reported by Finn and Achilles (1999), Finn, Gerber, Achilles, and Boyd-Zaharias (2001), and by others have shown that for early achievement gains to have enduring effects, three major conditions must be met:

1. *Early intervention*: when the student starts school.
2. *Duration*: provide small classes for three, preferably four years, so that the child can learn about school (an apprenticeship for years of successful “work”).
3. *Intensity*: maintain the small class all day, every day.

The Abecedarian program, CCPC, and PCDC included these factors. The STAR experiment identified two other elements that contribute to the gains: heterogeneity and a cohort arrangement. Evidence of these practices exists in Head Start programs where treatment effects last beyond high-school graduation (Barnett, 2003).

Research results from some Head Start/Pre-K programs described here and in the small-class research, when aligned, suggest theories as a foundation for the current research hypothesis. Theories established by Pre-K through K-3 research shown in Table 1 support children's long-term success (See Table 1).

Table 1. Theory Development: Examples of Enduring Effects of Small-Class Sizes.

Theory	Source	Comments
Small classes (15–17 students) and one teacher. Aide can help but not teach.	Head Start and Pre-K Programs: Perry Child Development Centers (PCDC) Chicago Parent and Child Center (CCPC) (ages 3–9) Abecedarian Program (ages 0–5 years)	Small classes are not pupil-teacher ratio (PTR). Class size is a different way of organizing and delivering instruction. Small classes are good for all children. Increased gains accrued for minority and at-risk children and that all children advanced in learning to greater degrees than did children in large classes.
Program Intensity (Same teacher every day, all day, for core academics)	CCPC Abecedarian STAR (1985) Burke County, N.C. Student Achievement Guarantee in Education (SAGE) (Molnar et al., 1999)	Program intensity was advanced by Ramey and Ramey (1998) in the Abecedarian program and later in STAR (Word et al., 1990), and some in SAGE (Molnar et al., 1999)
Early Intervention (When the child starts school)	Head Start (1965) PCDC, CCPC Abecedarian SAGE MSRP (age 4)	Because Head Start does not enroll all eligible students, the Michigan School Readiness Program (MSRP) enrolled some children not admitted to Head Start. MSRP was judged a success.
Duration after Pre-K (All day K and 3–4 years in small-class programs)	STAR Burke County, N.C. SAGE, STAR Abecedarian	Abecedarian, STAR, and SAGE were examples of three to four years of program duration. Stronger effects occurred with each added year.
Transition Programs: Pre-K, K-3	CCPC Abecedarian PCDC STAR SAGE	All preschool programs offered services to children through at least third grade. CCPC kept students in the program ages 3-9. CCPC and PCDC provided tutors for students in public school, K-3.
Parent Involvement	Head Start Abecedarian CCPC, STAR Burke County SAGE	Parents become more involved in small-class programs in the early years. They tend to remain more involved in school through elementary school.
Random Assignment/ Heterogeneity	STAR PCDC Head Start	STAR results showed positive effects of heterogeneity, findings supported by other work on the importance of heterogeneity.

Theory	Source	Comments
		(e.g. accelerated schools).
Cohort Effect (Students travel as a class, grades K-3)	CCPC STAR (all) SAGE (some)	Students benefit academically and socially from what Sarason called a psychological sense of community (PSOC).

Empirical data that STAR and various small class-size studies provide help explain the Fade and offer a variable or condition for analysis. Head Start enrollees can be exposed to two conditions: (a) those who have participated in small classes from Head Start through grade three or (b) those who have not. Given the longitudinal, empirical evidence provided from effective early childhood programs, there should not be a Fade effect in any early childhood education programs that incorporate the same successful theories and practices that are common to the programs explained in the literature review.

The Study: A Pilot Test of a Theory

Group I consisted of Head Start students who experienced full-day kindergarten every day in small classes and continued in small classes through grades one, two, and possibly three. Group I students will *not* demonstrate the Head Start Fade, or will have less Fade, than will Group II students who did not have the conditions experienced by Group I students. A small sample ($n = 21$) met conditions for Group I at the beginning of the study but experienced some attrition over the years. The Metropolitan Achievement Test (MAT) results were one outcome measure. Michigan's MEAP test was proposed as a second measure at grades 3 and 4, but results had not been retained.

To determine if students were experiencing a test-score fade, student test scores from first to second grade were analyzed using Wilcoxon signed-ranks test. Results in Table 2.

Table 2. Wilcoxon Signed-Ranks Test: Metropolitan 8 Reading Achievement Tests—First to Second Grade Comparisons.

g Tests	N	1 st > 2 nd	1 st = 2 nd	1 st < 2 nd	Z Value	Sig
Total	21	1	1	19	-3.85	<.001
Sounds & Print	21	2	1	18	-3.25	.001
Vocabulary	21	0	1	20	-3.92	<.001
Comprehension	21	3	1	17	-3.06	.002

Results of the Wilcoxon analysis show that Group I students improved in all aspects of reading as measured by the MAT-8 reading achievement tests. The Head Start Fade did not

occur from first to second grade. To determine if a Fade was occurring from second to third grade, a Wilcoxon signed-ranks test for the students from grades two and three (See Table 3).

Table 3. Wilcoxon Signed- Ranks Test: Metropolitan 8 Reading Achievement Tests—Second to Third Grade Comparisons.

g Tests	N	1 st > 2 nd	1 st = 2 nd	1 st < 2 nd	Z Value	Sig
Total	12	0	12	0	-3.06	.002
Sounds & Print	12	1	11	0	-2.59	.010
Vocabulary	12	1	11	0	-2.90	.004
Comprehension	12	1	11	0	-2.98	.003

Results indicated that 12 students with reading scores from second to third grade showed significant improvement in total reading scores, $Z = 3.06$, $p = .002$. Eleven students improved in sounds and print, $Z = -2.59$, $p < .010$, in vocabulary, $Z = -2.90$, $p = .004$, and in comprehension, $Z = -2.98$, $p = .003$. Based on these findings, it appears that Head Start students who had been in full-day small-class kindergarten and in small classes in first, second, and third grades (Group I) and meeting the conditions for Group I in the theory, were not exhibiting Head Start Fade at the end of third grade.

Study results support an administratively mutable organization change in early schooling to moderate or remove the Head Start Fade. Results also suggest a) the need to assure that sufficient required data are available in grades 3 and 4 to track student Pre-K and grade 3 or 4 schooling conditions required in the theory, and b) that an appropriate comparison group not meeting the required conditions is available. Following a successful large retrospective test of the theory, a randomized field trial would be a logical next step.

Some Concluding Comments/What We Learned

This preliminary test of theory was delimited to a small group of students who had longitudinal data and could be tracked for their Head Start and K-3 class conditions. Limitations included a small sample, no control over student assignments, no control over teacher assignments, and no true control group.

The research blended data and theory a) to explain the Head Start Fade, b) to suggest a solution, and 3) to provide a pilot test of the theory. The outcomes were promising, but the theory requires additional refinements. Future research must have larger samples and better controls than were available for the present study. Class-size research addressed Bloom's (1984) two sigma problem. Combining class-size research with information from successful early childhood programs and supporting theories may offer a solution to the Head Start Fade phenomenon, and provide directions for effective pre-K through grades 3 and 4 education. Education is cumulative and requires a strong foundation for long-term success.

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A Case Study in Accountability, District Monitoring, and School Improvement

Gini Doolittle and Evelyn Gallagher Browne

INTRODUCTION

As the multiple criticisms regarding the No Child Left Behind Legislation (NCLB) continue, a consistent pattern testifying to significant learning gains across schools, especially high-poverty schools, has yet to emerge (Fullan, Hill, & Crèvola, 2006). Although improvement has been reported in a few schools across the country, including several in high-poverty districts, a recent study by Mass Insight Education and Research Institute (2008) predicted that “by the end of the decade, at current rates, about five percent of all U.S. public schools will be identified as chronic failures in need of what NCLB calls ‘restructuring’” (p. 2). The researchers also reported that 1,100 of the nation’s 100,000 schools are presently labeled under the most severe NCLB category, restructuring. Second, an additional 12,000 schools have been designated in need of improvement (SINI) with one quarter of the nation’s total number of schools unable to make Adequate Yearly Progress (AYP). Orfield and Lee (2005) added that of the 35% low socio-economic status students who attend public schools, two-thirds represent minorities.

Despite ongoing efforts aimed at improving student achievement, most interventions focus on technical solutions rather than confront the underlying poverty compromising student learning (Calkins, Guenther, Belfiore, & Lash, 2007). Unfortunately, school failure generates a cycle of intense scrutiny kicking off a seemingly endless cycle of academic failure, monitoring, sanctions, and corrective action plans that resembles the movie, *Groundhog Day* (Ramis, 1993).

In New Jersey, for example, the ongoing failure of 13 districts to meet AYP benchmarks resulted in their designation as Districts in Need of Improvement (DINI). Under the NCLB regulations, districts that do not meet AYP during successive years may find themselves in corrective action (U.S. Department of Education, 2000). The federal government requires such districts to undergo comprehensive monitoring resulting in a corrective action plan. In addition, two other low-achieving districts were added to the pilot.

In this chapter, we present a case study of one high-poverty DINI district and then examine how the data compare to the other DINI districts. As a result, we were able to identify four key areas for future action that might help other high-poverty school districts meet AYP expectations and improve student achievement by implementing turnaround strategies. Turnaround strategies incorporate community, district, and state efforts (Fullan, 2006) to improve schools.

NEW JERSEY NCLB PROCESSES

The State Review Process: Quality Single Accountability Continuum

The New Jersey Quality Single Accountability Continuum (NJQSAC) is a self-monitoring instrument that targets five critical District Performance Review (DPR) areas: Fiscal & Facilities, Operations, Personnel, Instruction/Program, & Governance. Each of the indicators in the DPRs were derived from the corpus of educational research and aimed at providing all children quality instruction. State officials intended for the monitoring process to focus on the core technology of teaching and learning to improve student achievement. New Jersey Department of Education officials anticipated that the state could now possibly move from a compliance-based system to an ongoing collaborative process.

QSAC was piloted in 15 districts during year one, using both external and internal monitors to assess the 300 indicators. By meeting state-established benchmarks, districts exit corrective action, and become eligible for self-monitoring, in which districts engage in a continuous systematic three-year cycle of improvement. Self-monitoring, however, requires reviewing student achievement data, collaboration, curriculum, and assessing the degree to which the district adheres to state regulations including fiscal matters, personnel, and school operations. According to state officials, the process of monitoring should reflect a commitment to ensuring school effectiveness and be viewed as a process that anticipates collaboration with a wide range of stakeholders over time, rather than just focus on snapshot outcomes as evidence of school success or failure (Lattimer, Schonyers, & Arons, 2006).

The Collaborative Assessment for Planning and Achievement

At the building level, New Jersey requires a Collaborative Assessment for Planning and Achievement (CAPA) review when schools have not met satisfactory levels of student achievement in language arts literacy or mathematics. External monitoring teams of Highly Qualified Professionals (HQP) include retired superintendents, supervisors, state officials, university faculty, and New Jersey Department of Education (DOE) managers (New Jersey Department of Education [NJDOE], n.d.a). Intended to identify specific obstacles to teaching and learning, CAPA teams examine the level of leadership, learner-centered instruction, and developing learning communities by collecting data in seven standard areas: classroom assessment and evaluation; instruction; school climate and culture; student, family, and community support; professional growth and development; and leadership.

THE CONTINUING DILEMMA OF URBAN SCHOOLS

Urban public schools are especially hard hit from years of neglect, and the lack of systematic practices targeted at improving student learning (Orfield & Lee, 2005). Casualties include students whose teachers, demoralized and disenfranchised, no longer believe them capable of meeting even the most reasonable academic challenge. Teachers in low socio-economic status (SES) schools point to the challenges of teaching children who, in all likelihood, did not attend preschool and did not grow up watching Sesame Street. They describe how single-parent households, drugs, limited access to before and after school tutoring, and summer remediation, create multiple obstacles to learning.

With low-income school districts experiencing difficulty recruiting and retaining highly qualified teachers, poor working conditions, and a growing urgency to improve test scores,

reform strategies continue to proliferate leaving behind a trail of broken promises, incomplete and uneven implementation, and students who still cannot read and cipher (Calkins et al., 2007). Efforts to augment inadequate budgets, including the imposition of whole school reform models on low SES districts, have resulted in little meaningful or sustained change in the low-performing poor districts throughout the state (Walker & Gutmore, 2000).

Further complicating this dilemma fact that administrators and teachers do not see eye-to-eye on the nature of the problems facing urban schools (Rand, 2007). On the one hand, superintendents critique the absence of adequate funding for reform efforts. On the other, teachers see the failure to align curriculum and state standards as one explanation for low scores. Citing insufficient time for teaching and planning, teachers express their frustration with unrealistic expectations embedded in the NCLB legislation (Le Floch et al., 2007).

Hoping to motivate educators to increase student achievement, states attempt to provide rewards, assistance to low performing schools, or sanctions (USDOE, 2000). Yet Goertz and Duffy (2003) reported that “educators in the CPRE study generally faced few formal consequences for not meeting school, district, and/or state performance goals beyond those imposed by the state” (p. 5). Citing that states rarely apply sanctions to low performing schools because they lack capacity, including both fiscal and human resources, to support effective change, the researchers indicated the need for clear goals, incentives, teacher motivation, including capacity-building efforts, and teacher knowledge and mastery of effective instructional techniques.

METHOD

Data Collection

Data for the district monitoring were collected from the River City School District and were analyzed by the five QSAC team members. The monitoring team observed that the document checklist had a number of planned redundancies and by working back and forth between the DPRs, they were able to compare key indicators acquiring a fairly clear picture of district performance. The second stage of monitoring, extended interviews, was conducted using QSAC protocols. The third and final stage required the monitoring team to complete comprehensive reviews of one-third of the district’s schools.

During the second phase of this study, an analysis of the secondary data across all pilot districts, including monitoring reports from the remaining districts were downloaded from the NJDOE’s public web-site. The site included Benchmark Assessment Reports, Curriculum Audits, and data from all five QSAC DPRs. Data points within each of the five indicators provided triangulation for key proxies. Specifically, the Instruction and Program DPR and the Learner-Centered Instruction domain of CAPA helped fill in some of the missing data pertaining to the teaching and learning process throughout the district (Doolittle et al., 2007). For example, using assessment for improving instruction appears across all five DPRs. Likewise, professional development, collaboration, and efficient management, also appear in the DPRs.

Data Analysis

Using the constant comparative method devised by Glaser and Strauss (1967), data were coded, organized into categories, and then collapsed into themes. Our analysis focused on effective school improvement derived from the corpus of research literature associated with

best practices, implementation, and turnaround schools. With many of the district's schools failing to make AYP during recent years, the CAPA reports provided supporting data and an opportunity to triangulate findings at each stage of monitoring. Findings from the mandated follow-up visits provided us with a sense of the district's capacity for responding to a carefully scaffolded monitoring process.

In this study, we limited our analysis to the indicators included in Instruction and Program and Personnel, and concentrated on the data extracted from these two key DPRs since both contain the largest number of indicators effecting teaching and learning. Data were analyzed using *Statistical Package for the Social Sciences* (SPSS) version 15.0 statistical computer software. The percentage totals for the Instruction and Program and Personnel DPRs are included in Table 1.

FINDINGS

A careful review of district documents revealed that previous reform efforts involved school leaders selecting low-impact strategies rather than ones likely to improve the education of the most needy students (Brady, 2003; Wong & Shen, 2003). Further, this round of monitoring exposed a marginal professional capacity at the central office, along with an unruly board of education entrenched in the local political scene. These factors cascaded into an inability to focus on the district mission and vision with a subsequent breakdown in leadership across the district. With "powerful decision makers ...not responsive to warnings" (Ford, 1985, p. 781) and their "refusal or inability to see problems" (Lorange & Nelson, 1987, p. 42) the district obviated an all-inclusive focus on teaching and learning as a consequence of its "insufficient actions" (Zimmerman, 1991, p. 22).

What Went Wrong

Absent clear and coherent policy underpinning efforts to improve student learning, district policies and political practices undermined the good intentions of most staff. For example, the mission statement only vaguely inferred the importance of having all students meet the New Jersey Core Content Curriculum Standards (NJCCCS). Consequently, the absence of clarity about what was prime, allowed other unrelated priorities to hold sway. Contributing to this were outdated policies that were often ignored as board members focused on local political issues rather than focus on actions that might improve student learning.

Curriculum and Instruction

The district curriculums were not aligned to the NJCCCS; were incomplete and outdated; were not clearly articulated and/or implemented; and provided weak links to career options. Scores on the DPR sub-sections related to curriculum and instruction corroborated these findings. With a total score of 11 of a possible 120 points in the Instruction and Program DPR, River City scored 1 of 14 points in the Curriculum sub-section (NJQSAC, DPR Instruction & Program, Section B1-7) and 7 of 24 points in the Instruction sub-section (NJQSAC, DPR Instruction & Program, Section C1-8). No points were awarded in the Mandated Programs sub-section that includes Special Education, Gifted and Talented, and English as a Second Language (ESL). At one point, the monitoring team expressed concern that it made little sense to assess material that had not even been taught or, not taught well.

Assessment

The ineffective use of assessments to monitor student learning and adjust instruction through formative and summative evaluations emerged as a second theme. There was little evidence that multiple measures of assessment, or the implementation of performance assessments, were used to report student mastery. For example, in the Student Performance sub-section of the Instruction and Program DPR, the district received 0 points of a possible 64 (NJQSAC, DPR Instruction & Program, Section A1-15). The disconnects were obvious: both curriculum and assessments needed to be aligned to NJCCCS in order to boost student achievement, and assessments used regularly to monitor student progress. Further, multiple measures of assessment and full implementation of performance assessments were needed.

The use of multiple assessment measures in the 14 other districts fared slightly better at 53% with 40% consistently monitoring student progress. Similarly, the other districts reported that 60% of their assessments were aligned to the NJCCCS with only 47% of all performance assessments adequately assessing student mastery.

Professional Development

Professional development was largely hit-and-miss. Classroom observations confirmed an over-reliance on whole group instruction and textbook-driven lecture-style teaching indicating a district-wide need for capacity building in differentiated instruction. Building capacity involves “new knowledge and competencies, new and enhanced resources, and new and deeper motivation and commitment to improve things” (Fullan, 2006, p. 28). In addition, interviews and observations revealed a need for targeted and sustained professional development for training all teachers in authentic assessment; conducting gap analysis; using data analysis to modify instruction and assessments; and to differentiate instruction, and address multiple intelligences (MI), and learning styles.

Staffing classrooms with Highly Qualified Teachers (HQT) added yet another challenge in a district where most new hires largely emerged from alternative preparation programs. District administrators complained that these novices were not adequately prepared to teach in inner-city schools, however, no one could explain why the district did not adopt practices likely to result in “better hires.” While the absence of leadership at central office, the district’s poor reputation, timing of the hiring process, and low pay for starting professionals contributed to this dilemma, most believed that more professional development would “do the trick,” and help retain new teachers. District personnel believed that state-required post-degree mentoring programs were often hit-and-miss sessions lacking adequate teacher input. Quite predictably, there were no points earned in either the Licensed Personnel sub-section (NJQSAC, DPR Personnel, Section A1-3), or the Professional Development sub-section (NJQSAC, DPR Personnel, Section C1-5). There was a possible total of 84 points in these two sections.

Absence of Leadership

The district had recently undergone multiple state-required audits to reconcile its enormous debt. Facilities were clearly in disrepair and desperately in need of major work. Media headlines reported conflicts between and among board members. Student violence frequently made the evening news. Early on in the monitoring process, the team recognized that little had been done to provide direction that built professional capacity among central

office administrators and few administrators reported attending staff development regularly. Staff complained vigorously about the teacher turnover rate; however, the district did not analyze its staff turnover, nor identify any areas for improvement.

Urban Districts Across New Jersey

By comparing River City's data with the information collected from the remaining low-performing, mostly urban districts, we were able to establish that the majority of the pilot districts lacked an adequate curriculum aligned to state learning outcomes or standards. Curriculum audits pointed to the use of outdated texts, inadequate curriculum materials, and in some cases, unused materials purchased by the district (NJDOE, n.d.b). According to the NJDOE, only 46% of districts reviewed and approved the curriculum annually. Fifteen percent of districts reported implementing and monitoring the curriculum while 40% indicated they included benchmarks and assessments in the teaching process. Similarly, only 40% reported that content was integrated across the 9 content areas in the core curriculum and 40% stated that both vertical and horizontal articulation occurred through curriculum mapping. Finally, 47% reported having a systematic approach to key curriculum and developmental transition points between, for example, elementary to middle school, focused on student strengths and needs, student work, and planned interventions to accommodate transition.

Further exacerbating these dilemmas, a pattern of inadequate professional development for developing capacity was evident at both the building and district level. Typically, district professional development was short-term and often unrelated to goals for improving student achievement. There was also limited evidence throughout that districts' capacity-building efforts were embedded and ongoing.

Moreover, there was little coaching and mentoring for teachers hired from alternative preparation programs. Second, providing sustained professional development for mentor teachers was reported in only 47% of the districts. Districts adjusted mentoring plans based on student work in novice teacher classrooms 53% of the time, and reviewed, evaluated, and revised mentoring plans or activities in just 60% of the districts.

Twelve of the Districts scored less than 50% of the possible 120 points in the Instruction and Program DPR with 7 scoring below 50% in Personnel. Table 1 demonstrates that a clear focus on teaching and learning, curriculum, assessment, professional development, and hiring practices was largely absent. With these data supported by multiple school visits, interviews, and document analysis, we suspect that other low-performing public schools are likely to exhibit a similar pattern.

Implications

In this investigation, our research provided an important touchstone for understanding the River City School District dynamics. First, it provided a conceptual framework for decoding the various behaviors and district actions. Second, it allowed us to determine that although River City and her sister districts claimed alignment to the NJCCCS, this was simply not the case. Third, classroom observations established that texts were frequently outdated, or, if a curriculum scope and sequence was available, it often remained in a drawer. Fourth, there was little or no evidence of either vertical or horizontal articulation.

Table 1. NJQSAC Scores for Instruction and Program and Personnel.

Districts	Instruction & Program DPR (117-120 points*) %	Personnel DPR (100 points) %
River City	9	5
2	53	88
3	39	32
4	15	38
5	15	24
6	52	63
7	71	96
8	28	45
9	57	68
10	62	83
11	47	80
12	24	70
13	8	38
14	69	88
15	14	22

Note. * Total points in Instruction & Program DPR depend on whether districts include Early Childhood Program and High School. All descriptors for the Instruction and Program and Personnel DPRs can be accessed from the NJDOE website at <http://www.state.nj.us/education/genfo/qsac/>

Add this loose-coupling to long established practices of teacher-directed or frontal teaching, and you quickly acquire significant gaps between what is taught and what is assessed. Next, keep changing classroom teachers by replacing them with this year's novice and you further undermine the learning process. With NCLB pressing for more students meeting advanced benchmarks, any detour can result in declining scores and take a district off course.

If what actually happens in a classroom represents the most important factor in improving student achievement (Leithwood, Lewis, Anderson, & Wahlstrom, 2004), then surely hiring the best teachers is critical for student success. Even more important, is the need to retain new teachers, providing them with adequate support in the classroom, and as a cohort, building their confidence and expertise in some of the basics, including classroom management, and teaching strategies such as differentiated instruction and cooperative learning. With the capacity of individual principals varying from building to building, some school leaders saw mentoring new teachers as the primary responsibility of Central Office staff rather than at the building level. Sadly, we observed multiple examples of sink-or-swim induction (Britzman, 1991) instead of efforts to build professional learning communities. Finally, district turnover, administrative or faculty, can lead to a loss of organizational history and a mission that becomes diluted by shifting daily priorities. With rapid administrative turnover, primary goals easily become lost as districts initiate new initiatives without allowing sufficient time for full implementation of earlier efforts.

What is Needed

With the absence of structures and effective strategies for improving student learning evident across all 15 pilot districts, it seems to us that in order to turnaround a troubled district, especially a high-poverty urban school system (Murphy & Meyers, 2008), district leaders must understand the importance of having a clear road map for reform. Second,

leaders across the district must acquire a deep knowledge of the change process. Third, the district must develop the capacity to implement and sustain efforts aimed at improving teaching and learning utilizing community and state resources. Finally, districts must accept that less is indeed, more, and limit their reform efforts to the implementation of two or three key areas.

CONCLUSION

When superintendent, central office staff, and principals ignore the need to engage in extended learning, or believe that “there’s very little they can actually do about NCLB” (School Superintendent, personal communication, July 2007), failure is certain to follow. We believe our data highlight important gaps in the operation of low-performing schools and warrant further study.

We posit that poor performance may be improved by paying attention to four key areas: (a) having a clear road map for reform, (b) acquiring a deep knowledge of the change process, (c) building capacity to implement and sustain efforts aimed at improving teaching and learning, and (d) limiting their reform efforts to two or three attainable goals. This leads to the need for super-leaders, principals, and central office professionals with knowledge about how to transform school districts, implement reforms and sustain change, especially in those that are considered high-poverty.

Logically, this important information must be integrated into the curriculum of leadership preparation programs. Our findings remind us that perhaps we had been looking for reform in all the wrong places or, perhaps by adding so many additional layers of monitoring, no one even really knew where to begin implementing a manageable corrective action plan. Beginning with what is important, a focus on teaching and learning, and understanding the barriers standing in our way, monitoring resulting in manageable outcomes might have the potential to provide a data-based organizational analysis. In conclusion, we agree that Murphy and Meyer’s (2008) observation that school improvement now seems inadequate for the second-order change that needs to occur in schools. We prefer the more comprehensive notion of turnaround leadership.

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New Leaders for Urban Schools: The Rise of Non-Traditional School Leaders

Bonnie C. Fusarelli and Mark Duckworth

Within the last decade, in an attempt to improve often dismal school system performance, several states passed laws changing certification requirements for superintendents, effectively permitting anyone, however trained, to become superintendent of a school system (Fusarelli & Petersen, 2002). Neo-conservative attacks questioning the efficacy of university-based preparation programs (Hess, 2003; 2004; Levine, 2005), influenced state policymakers and many states are revising licensing criteria and administrator certification requirements, shifting from input models (e.g., academic credits and certification) to output-driven models (e.g., competencies and performance) (Fusarelli, 2005).

Several states, including Michigan, Tennessee, and Illinois, have either partially or totally eliminated requirements for superintendent preparation and several others, including Louisiana, Colorado, Florida, Kentucky, and Washington, have lowered the barriers for entry of non-educators into the superintendency. For example, Louisiana allows a non-traditional superintendent to take the position in districts with over 45,000 students (Title 28, Part CXV, Bulletin 741, Section 505)¹. In Tennessee, superintendents need only U.S. citizenship and a college degree (in any field of study) (Tennessee Code Annotated 49-2-301). Further, emergency certification for persons from non-traditional backgrounds in the form of waivers is permissible in almost every state.

The movement toward alternative certification for school administrators reflects a response to a perceived leadership crisis in America's schools. Neo-conservative attacks on public education—that schools are failing, have been failing for decades- has resulted in calls for new thinking and new leadership (Hess, 2004).

Desperate to improve student achievement, several large school systems have hired superintendents (now often called education or school chief executive officers) who have no significant experience in educational settings. Citing past success in managing corporate finances, meeting operational and strategic performance goals, and providing leadership within a complex corporate hierarchy, these non-traditional superintendents have convinced school boards and mayors that they can effectively execute needed school reform.

These new education Chief Executive Officers (CEO's) have brought about various changes in their systems and have received mixed reviews. Paul Houston, executive director of the American Association of School Administrators (AASA), stated that “the performance record of non-traditional superintendents from outside the field is mixed, with a few well-publicized successes and some failures-particularly an inability to raise student achievement and close the achievement gap” (The Council of State Governments, 2004). As school

¹ A chief academic officer responsible for curriculum and instruction must be appointed by the LEA within 120 days of the non-traditional superintendent taking office.

systems work toward accomplishing educational objectives, school boards (and in some cases mayors) in charge of hiring superintendents need to know if non-traditional superintendents possess the skills necessary to effectively lead and improve school systems.

Traditionally, state boards of education wanted superintendents to complete graduate programs and certification programs in education. A comprehensive knowledge of pedagogy, curriculum practice, and education leadership theories was viewed as essential to ensure student success.

However, over the past four decades, leadership licensure and certification requirements have gone through cycles of increasing regulation followed by deregulation or a loosening of requirements. Reports such as *A Nation at Risk* (1983) contributed to this cycle so that by the mid 1980s, most states (41 states or 82%) had regulations that required school leaders to complete a prescribed program of graduate study and subsequently obtain a state-issued license (or certification) to practice (Kowalski, 2005). Yet, the persistent failure of many school systems to improve education, particularly for those most at risk of academic failure, has led to calls for radical reforms, including eliminating licensure and certification requirements for school leaders.

Some scholars (Kowalski & Bjork, 2005; Tucker, 2003) have asserted that traditional superintendent licensure requirements are not practice-based and do not address the actual requirements of the job and concluded that corporate or military leadership skills are appropriate and transferable to the public school system. In the extreme position, Hess (2003) called for deregulation of the position entirely to allow school boards (or mayors) to hire executives and military professionals from outside the educational sector (see also Usdan & Cronin, 2003). Taking a more moderate stance, Cooper, Fusarelli, Jackson, and Poster (2002) proposed changes or modifications to licensing requirements to make them more directly related to the actual demands of the position. While “cast[ing] the widest possible net” to attract talent (Usdan & Cronin, 2003, p. 18) may seem like an appropriate strategy, it may have unintended and often negative consequences, as the data from this study illustrate.

Even as scholars and policy makers debate the utility of superintendent licensure, non-traditional leaders are increasingly occupying the superintendencies of some of our nation’s largest school districts. Dating back to the hiring of David Hornbeck in Philadelphia in 1994, John Stanford in Seattle in 1995, and Paul Vallas in Chicago in 1995, the appointment of non-traditional superintendents has become somewhat of a trend among urban school systems, prompting a cover story on “The Outsiders” in the June 2001 issue of *The American School Board Journal*. Currently, systems in The Council of the Great City Schools (CGCS), a coalition of 66 of the nation’s largest urban public school systems, have seven (10.6%) non-traditional superintendents. However, little is known about these non-traditional superintendents. Are they effective leaders in the education sector? Are they able to improve the often failing systems they are charged to reform? In this exploratory case study, we explore these questions and others.

URBAN SCHOOL LEADERSHIP

Being the superintendent of a large urban district has been described as *the toughest job in America* because of the challenges of leading such incredibly complex organizations. For example, the New York City Department of Education has an annual operating budget of nearly \$13 billion, comparable to Fortune 500 companies such as Continental Airlines and

Sun Microsystems. Moreover, urban school districts are often struggling to repair and maintain an extensive network of old and decaying buildings with limited capital funding resources. While the largest urban school districts comprise about one percent of all school districts in the country, they serve close to 25% of the nation's children, of whom approximately 60% live in poverty and 70% belong to minority groups. This urban student population has historically experienced low student achievement and high dropout rates. Leaders of large urban school districts must successfully address significant income achievement gaps and ethnic achievement gaps, "within a highly political, racially sensitive, media-intensive, highly unionized and highly regulated public environment" (Quinn, 2007, p. 24).

EFFECTIVE SUPERINTENDENTS

Scholars have tried to determine the characteristics of effective superintendents for over 40 years. In his historical analysis of the position, Cuban (1976) noted three distinct conceptions of superintendents: superintendent as (a) Teacher-Scholar (curriculum, instruction, supervision); (b) Administrative Chief (management, finance, district organization); and (c) Negotiator-Statesman (school boards, community, federal and state relations). Cuban found that urban superintendents adopted diverse philosophies to help them cope with an unpredictable environment and that while some conceptions proved more durable than others at certain times, none disappeared, for they were inherent to the nature of the job (Cuban, 1976).

Effective superintendents are reflective practitioners who wrestle with the conflicting demands of the role and ask themselves, "Am I primarily a manager, politician, or instructional leader?" (Cuban, 1998; Nestor-Baker & Hoy, 2001). As manager, the superintendent must keep the "organization working smoothly and efficiently toward their "goals" while "reducing conflict, seeking changes, and taking risks" (Cuban, 1998, p. 53). As politician, superintendents use their technical and organizational skills in implementing what others—school boards, governors, state legislatures, and the U.S. Congress—dictate to "improve the district's image, implement a desired program, or secure new resources" (Cuban, 1998, p. 43). As instructional leader, the superintendent must "lead teachers and principals in aligning the curriculum, raising academic standards, and producing better test results" (Cuban, 1998, p. 53).

Paul Vallas, a non-traditional superintendent in both the Chicago and Philadelphia school systems, attributes his success to the fact that he "immediately defined his vision for education, outlined a five year plan for a balanced budget, and started talking with the district's unions" (Schaarsmith & Grant, 2005, p.??). His successful approach can be related to the Cuban model in the areas of Teacher-Scholar, Administrative Chief, and Negotiator-Statesman.

Similarly, Petersen (1999) identified four characteristics essential to superintendent effectiveness: (a) possession and articulation of an instructional vision, (b) the creation of an organizational structure that supports their instructional vision and leadership, (c) assessment and evaluation of personnel and instructional programs, and (d) organizational adaptation. Kowalski (1995) asserted that as many as 50 facets of superintendents' behaviors have been explored by researchers and that they can be reduced to two broad categories. These categories are situational variables (those relating to context) and personal variables (those

relating to the administrator). He concluded that making the appropriate situational decision from a professional knowledge base will more likely yield success.

The work of Young (2005) provided perspectives on the characteristics of effective superintendents. Young posited that effective education leadership must include traditional characteristics of leadership as well as those related to student learning. Young stated that effective school superintendents must be “leader(s) of learning and instruction” (p. 158), which requires them to have a working knowledge of curriculum design, student learning, and instructional supervision.

In the existing research literature, there is a general consensus about the characteristics of effective traditionally prepared superintendents. However, little is known about non-traditional superintendents. This exploratory study provides information about the education, training, and effectiveness of non-traditional superintendents.

METHODOLOGY

For this exploratory, descriptive case study, data were collected through both face-to-face and telephone interviews with a purposeful sample of seven non-traditional superintendents as well as through electronic correspondence (email). All seven of the non-traditional superintendents of CGCS participated. Data collected included demographic information of the school system, as well as information about the superintendent’s education background, career experiences (including pathways that led these non-traditional leaders to the superintendency), and multi-year data about school system performance as measured by student test scores. Three years of the most current National Assessment of Educational Progress (NAEP) scores and state-mandated accountability test scores were compared to determine trends in student performance. Schools are loosely coupled systems (Weick, 1976) and a causal relationship between superintendent leadership and student test scores cannot be established. However, student test scores and graduation rates can provide a general impression of the direction the system is headed (improving or declining).

The following questions guided this study:

1. Are there any commonalities in background, training, or experience of non-traditional superintendents?
2. What knowledge, skills, or traits do non-traditional superintendents believe are essential for success as a superintendent?
3. Has there been an increase in student achievement and academic performance during their tenure?

Data analysis was conducted through a process of coding and sorting the collected data and establishing common themes from multiple data sources (Bogden & Biklen, 1998). The interviews were recorded and subsequently transcribed verbatim. During the interviews, field notes were taken and these notes were later expanded upon and became a part of the case database (Bogdan & Biklen, 1992; Lincoln & Guba, 1985). Data were triangulated through member checks and the use of multiple sources of data. In keeping with established methods of qualitative research, pseudonyms were used to protect participant confidentiality.

FINDINGS

Larger school systems in the United States have begun to hire non-traditional superintendents who have no significant experience in education leadership. Several factors have been cited as the rationale behind these hirings, foremost of these being the leaders' previous track records in managing corporate finances, meeting operational and strategic performance goals, and providing leadership within a complex corporate or military hierarchy. Data from our study suggest that success in other sectors may not readily translate into successful school system leadership.

OVERVIEW OF THE SEVEN SCHOOL DISTRICTS AND THE NON-TRADITIONAL SUPERINTENDENTS

The Merrill School District

The Merrill School District has an operating budget of over \$4.6 billion, and serves 408,600 students in 655 schools. Over the past three years, student enrollment has dropped by almost 20%. This majority-minority system is comprised of a student population that is approximately 47% African-American, 39% Hispanic, 8% Caucasian, 3% Asian/Pacific Islander, with the remaining 3% identified as multi-racial, American Indian, or "other." Roughly 85% of these students are from low-income families, and 15% are categorized as English Language Learners (ELL).

In 2001, The Mayor of Merrill appointed Pat Allison the superintendent of the Merrill school system. Although there was some initial controversy when the mayor appointed a non-educator as superintendent, for the past seven years, Allison has enjoyed the support of the mayor as he has attempted to implement reform initiatives. Superintendent Allison reported that, "I don't think I was brought in to maintain the status quo. I brought to the table a huge passion for children, a real understanding of the city, a real understanding of what great public education can and should look like in the inner city, and a sense of mission that we needed to make dramatic changes. I think that those are some of the attributes that the mayor was looking for."

Clearly, Allison believed he was brought in as a change agent, but he was not completely new to the education sector. He had some experiences with schools prior to his appointment as superintendent. For approximately six years, he led an initiative in the city to create education opportunities for inner-city children. Before his work with schools, Allison was a professional athlete, an experience he has claimed to draw on to rally momentum for his initiatives. He graduated magna cum laude with a liberal arts degree from an elite Northeastern university.

While Allison may enjoy the support of the mayor, he has failed to make notable improvements in student academic performance. In fact, the district is on academic watch after not making AYP for four consecutive years. While the district made only modest gains in student test scores over the last two NAEP testing cycles (up an average of 2.5 points on the 4th and 8th grade NAEP exams), the graduation rate fell by 8% (down to 66% from 74%).

The Nora School District

The Nora School District has an operating budget of over \$1.2 billion, and serves approximately 73,400 students in 151 schools. Over the past three years, student enrollment has remained steady. This majority-minority system is comprised of a student population that is approximately 57% Hispanic, 21% Caucasian, 18% African-American, 3% Asian/Pacific Islander, with the remaining 1% identified as multi-racial, American Indian, or “other. Roughly 65% of these students are from low-income families and 20% are categorized as English Language Learners (ELL).

Joe Bertram was appointed Superintendent of Nora Public Schools by the mayor of Nora in July 2005. He reported that he brought unique strengths to position such as, “experience in corporate restructuring, fairly extensive political background as well as a local relevant political background.” He recognized his need to learn the “teaching part of the job,” and subsequently hired a chief academic officer to assist him in this process.

Superintendent Bertram earned a bachelor's degree in history with honors from a top-ranked liberal arts school in the Northeast (the same college the Mayor of Nora attended). Superintendent Bertram then earned a law degree from an elite Northeastern university and subsequently worked as a federal law clerk for a judge in the eastern U.S., as a personal assistant for a governor of a Mid-western state, and briefly as an attorney. He served as Counsel to the Deputy Attorney General in a U.S. President's Administration. Bertram relocated to Nora to work in a management position with a local investment company restructuring billions of dollars in corporate debt and overseeing investments of \$500 million. Just prior to his appointment as superintendent, Bertram was the Chief of Staff for the Mayor of Nora.

While Bertram may have had a stellar record as a financial manager and political aide, his short record as superintendent is less impressive. Since 2005, elementary student reading and math scores on the state-mandated tests fell (-2.77% and -.83% respectively). At the middle school level, reading scores also fell (-2.31%) but math scores improved (+7.82%). High School level reading and math scores remained flat. Disturbingly, the student high school graduation rate dropped from 77% to 51.7% - a decline of 16.2 percentage points.

The Elkins School District

The Elkins School District has an operating budget of over \$20 billion, and serves over 1,042,100 students in 1450 schools. Over the past three years, student enrollment has declined by roughly three percent. This majority-minority system is comprised of a student population that is approximately 39% Hispanic, 32% African-American, 14% Caucasian, 14% Asian/Pacific Islander, with the remaining 1% identified as multi-racial, American Indian, or “other.” Roughly, 68% of these students are from low-income families and 13% are categorized as English Language Learners (ELL).

In July 2002, Superintendent David Dallas was appointed by the Mayor of Elkins to lead the Elkins Public Schools. Just prior to his appointment, Dallas was the chairman and chief executive officer as well as chief U.S. liaison officer for a large media company with \$20 billion in annual revenues. Prior to that Dallas was an assistant attorney general in the U.S. Department of Justice's Antitrust Division. The appointment to the U.S. Justice Department

came after 20 years of public and private legal work including two years as deputy counsel to the President of the United States.

Dallas views his decision to become a superintendent in a missionary light. He reported that he became a superintendent “because I believe education is the most important domestic issue this country faces, particularly in complex urban environments where so many kids are falling through the cracks. I have had my life changed by public education in this city. I grew up in poverty.” When discussing why he believes the mayor tapped him for the superintendency, Dallas replied: “Obviously I was an unconventional pick, but...I think I had the qualifications...the skills to lead significant organizational change, which is what's required in public education. You have a system that's failing many, many students. It's underperforming, and people who grew up in the culture of such a system are often not the best people to lead a transformation, whereas in my work that I had done in the government and in the justice—and at the large media firm, I think I was positioned to be a transformational leader... basically my whole life has been in training for this.” Dallas believes in the promise of mayoral control and commented that: “It is hard to do serious transformation work until we had a system of mayoral control, where I pretty much knew that I'd have the opportunity to serve with this mayor for a significant period of time.”

Superintendent Dallas graduated magna cum laude with a Bachelor of Arts degree from an elite Northeastern university before earning a law degree, with magna cum laude honors, from another elite university in the Northeast. Superintendent Dallas has authored several articles in both scholarly and popular journals.

Under the leadership of Superintendent Dallas, student test scores on the NAEP have remained relatively flat. Modest gains in 8th grade math scores (+2%) for example are offset by declines in 4th grade reading scores (-3%). Graduation rates for the district have improved slightly (+1.5%) but remain low (59.7%).

The Johnson School District

The Johnson School District has an operating budget of around \$526 million and serves almost 30,000 students in 65 schools. Over the past three years, student enrollment has declined by ten percent. This majority-minority system is comprised of a student population that is approximately 61% African-American, 35% Caucasian, 2% Asian/Pacific Islander, 1% Hispanic, with the remaining 1% identified as multi-racial, American Indian, or “other.” Roughly, 68% of these students are from low-income families, and 1% ELL.

Superintendent Franks was appointed to the position in August 2005 after serving as the Chair of an Education Committee in a northeastern state, where he worked to develop the state's educational reform legislation. Prior to that, Franks had an unsuccessful gubernatorial campaign and had taught Political Science at a small liberal arts university while also serving as Director of the Public Policy Center. Superintendent Franks earned a Bachelor of Arts degree from an elite Northeastern university and a Juris Doctorate from the same university.

Superintendent Franks understands that his is “an intensely political job.” He believes in the value of bringing in “an outsider” and commented that, “someone coming up in a traditional public school system might be more of a detriment than a help.” He views leadership as “an accumulation of a personal skill set which can't be done on a credential basis.”

Over the last two years, student test scores have improved in all but one area (5th grade reading), and the graduation rate improved by a striking 11.25% (currently 88%). Franks is the only non-traditional superintendent in this study who had any previous experience with school reform. Early indications are that he has used this experience to benefit the system.

The Darin School District

The Darin School District has an operating budget of over \$2.2 billion, and serves over 167,130 students in 281 schools. Over the past three years, student enrollment has declined by approximately 13 percent. This majority-minority system is comprised of a student population that is approximately 63% African-American, 17% Hispanic, 13% Caucasian, 6% Asian/Pacific Islander, with the remaining 1% identified as multi-racial, American Indian, or "other." Roughly, 75% of these students are from low-income families and 8% are ELLcategorized as English language learners.

After years of poor student academic performance, the Darin School District was taken over by the state in 2001. The district is currently governed by a five member panel (three members appointed by the governor and two members appointed by the Mayor of Darin). Superintendent Paul Emmy was named as interim superintendent in June 2007. Emmy had previous experience as the Chief Operating Officer in two other school districts, but it was his military background that he believes best prepared him for the superintendency. He reported that: "upon exit from the military I had the leadership and management skill sets to do something in any organization, you name the organization." Emmy had served in the military for 25 years and was the commander of a base that had fiscal obligations of \$700 million, an annual payroll of \$660 million, and \$93 million in contracts.

Emmy earned a Bachelor of Arts degree from a small liberal arts university and a Master of Arts degree from a university in the Western United States. He is also a graduate of the Military War College which prepares candidates to assume strategic leadership responsibilities.

Over the past three years, the district has increased student test scores on state-mandated exams and graduation rates have remained around 70%. Since he has only been in the position for a few months, it is too early to tell what impact, if any, Superintendent Emmy may have on the district.

The Glen School District

The Glen School District has an operating budget of over \$7.5 billion, and serves 704,400 students in 800 schools. Over the past three years, student enrollment has dropped over ten percent. This majority-minority system is comprised of a student population that is approximately 73% Hispanic, 11% African-American, 9% Caucasian, 6% Asian/Pacific Islander, with the remaining 1% identified as multi-racial, American Indian, or "other." Roughly, 77% of these students are from low-income families and 38% are ELL.

After 35 years of military service, Mike Carswell was unanimously selected by the board of education to be superintendent of Glen Public Schools in 2006. He stated that his experience in the military enabled him to "develop significant leadership and management skills." Carswell earned a Bachelor of Science degree in Biology from a university in the Southwest. He was a member of the first graduating class of the Reserve Officer Training Corp at the university and earned a Masters of Arts in National Security and Strategic Studies.

During his military career, Carswell was responsible for the educational programs of military personnel and their families, and worked with colleges and universities to provide bachelor and associate degree programs to more than 300,000 soldiers.

Superintendent Carswell has only been in the position since October 2006, nevertheless, student test scores improved in both reading and math on state-mandated tests at the elementary, middle, and high school levels. Unfortunately, it isn't all good news. During Carswell's superintendency, high school graduation rates, which were already low, have fallen by 2.8 % (currently 62.8% down from 65.6%). Data seem to indicate that Superintendent Carswell may be on the correct path, but it is too early in his tenure to tell.

The Bartles School District

The Bartles School District has an operating budget of over \$1 billion and serves over 50,000 students in 144 schools. Over the past three years, student enrollment has declined by approximately 22%. This majority-minority system is comprised of a student population that is approximately 82% African-American, 11% Hispanic, 5% Caucasian, 1% Asian/Pacific Islander, with the remaining 1% identified as multi-racial, American Indian, or "other." Roughly, 62% of these students are from low-income families, and 20% are categorized ELL.

Superintendent Grady was appointed by the Mayor of Bartles in June 2007. Grady had previous experience in the education sector. He founded and ran a new teacher project and had been a teacher for three years. While Grady is not a complete education outsider, he is still considered a non-traditional superintendent because his Master's degree is in public policy, not education leadership. This is Grady's first year on the job, so it is too early to tell what impact he may have on the system.

COMMONALITIES IN BACKGROUND, TRAINING, AND EXPERIENCE

The interviews with these non-traditional superintendents revealed several common themes or patterns in their backgrounds. All seven were graduates of highly selective universities or military colleges. Superintendents Allison, Bertram, Dallas, Franks, and Grady attended some of the most elite universities in the United States, and Superintendents Carswell and Emmy attended two of the nation's most prestigious military colleges for leadership training. Superintendents Bertram, Dallas, and Franks earned law degrees from prestigious universities while Superintendent Grady earned a degree from one of the same institutions.

All of the superintendents exhibit ties to political networks, either at the local, state, or federal level. Two served as legal counsel to a United States President and another served as a state legislator, chairing the state's education committee. Grady has political links to the U.S. Department of Education, having served in advisory roles over teacher quality issues while running the new teacher project. Both Carswell and Emmy have vast political experience dealing with the top tier of U.S. military and Department of Defense officials.

SKILLS AND TRAITS ESSENTIAL FOR SUPERINTENDENT SUCCESS

The superintendents in our study identified four skills they stated as necessary to be an effective superintendent: (a) being a good manager, (b) possessing good people skills, (c) creating a vision, and (d) being decisive. Carswell and Emmy also identified good relationships with the board of education as a key to success. Persistence and perseverance were also identified as essential. The participants' responses are consistent with the existing literature on effective traditional superintendents.

Non-Traditional Superintendents and Student Achievement

Does the appointment of non-traditional superintendents improve student achievement? The answer to this question is more difficult to answer than it might appear. One problem is the high turnover rate of urban superintendents. Without long-term data it is difficult to gauge superintendent effectiveness. The average tenure for traditionally prepared superintendents in large urban systems is only 2.75 years (CCGS, 2003). Tenure for participants in this study ranged from only a few months to almost seven years. The superintendents with the longest tenure (Allison and Dallas) work in districts under mayoral control and attributed their longevity to mayoral support. However, even in the districts with longer superintendent tenure, student test scores remained fairly stagnant and relatively low. Worse, graduation rates in the districts generally declined (with the notable exception of the Johnson School District).

CONCLUSION

Often when school boards hire non-traditional superintendents, they are looking for a maverick or a "highly effective medicine man" (Cronin & Usdan, 2003, p. 177)—someone to come in from the outside and shake up the system. However, research to date has not confirmed that non-traditional superintendents are any more unconventional than their traditionally trained peers (Public Agenda, 2003). In fact, data from our study indicate that non-traditional superintendents identify the same skill sets as prerequisites to traditional ?? superintendent success. Possibly, selection committees operate with a bias against anyone with extremely radical ideas. Thus, the non-traditional superintendents may not be as unconventional as their backgrounds may make them appear (Public Agenda, 2003). Most often, the conventions they embrace are "a technocrat's convention that systems and 'systemic' thinking can solve problems" (Public Agenda, 2003, p. 51).

When school boards or mayors seek out non-traditional superintendents, it is often in an attempt to find a heroic leader who can salvage a failing system. Data from our study indicate that non-traditional superintendents may not be the saviors their employers were seeking. Any improvements they may make might not stem from the fact that these individuals are education outsiders, but rather that they have the interpersonal qualities, political acumen, and leadership skills required to lead a school district and work with a school board or mayor. Successful school leaders are able to bring often-divided boards, communities, parents, and staff together around a core vision of school improvement (Stanford, 1999). Superintendents unwilling or unable to read the organizational culture of the school system and surrounding community accurately, and unwilling to invest time cultivating relationships with key

stakeholders, are unable to lead because, quite simply, no one will follow them (Fusarelli, 2005).

As school systems increase in size, the probability of having a non-traditional leader at the head of the system increases. Leaders of these systems appear to have skill sets that expand the distributive leadership that most larger urban systems require. Cronin and Usdan (2003) reminded us that successful school leadership requires a talent for figuring out ways to improve classroom and student performance. Non-traditional superintendents will need to work within the culture of the community. Only time will tell if they are able to do this consistently and effectively.

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School Consolidation: What School Administrators Need to Know

Marcia Morrison

ABSTRACT

School consolidation is occurring at an increasing rate in rural America and frequently it is met with frustration and anger in communities “losing” their school. School administrators are in the middle of the process and frequently leading it. Often they do not have the knowledge and skills to do so. While a critical issue in rural America, education administration programs provide little, if any, preparation for administrators on this topic. This article provides background information and research for administrators, and the professors who teach them, to increase knowledge on the topic. A case study of a successful school consolidation is presented. The process used in the case study is reviewed; the strategies that proved to be successful are shared; and, the advice of the Superintendent and Board of Education members is offered for others who may find themselves considering a school consolidation. Recommendations for administrative training programs are offered.

SCHOOL CONSOLIDATION: WHAT ADMINISTRATORS NEED TO KNOW

Forty-nine states have rural school districts. Of the 14,166 school districts in our nation, 8,038 are classified as rural (National Center for Education Statistics, or NCES, 2007). Only the District of Columbia and Hawaii, which each has only one large district, do not have rural districts. The NCES revised its method of defining school districts in 2006. The new method classified all districts into one of the four categories of city, suburban, town, and rural. Each category also has subcategories such as large, midsize, and small; the subcategories for rural districts are fringe districts that lie close to an urban area, distant districts that are farther from an urban area, and remote districts. It must be acknowledged that rural districts have fewer students enrolled than in suburbs or cities; however, it is noteworthy that over half of all U.S. operating school districts are in rural areas, more than in any other locale. Clearly, what happens in rural areas is of importance to our educational system in general, and consequently, important to school administrators.

While both the national population and student population have increased, the number of schools and school districts has decreased. One main reason for the decline in schools and districts is consolidation of districts. Consolidation battles continue today and school administrators are at the center of the decision making; and yet, there is little training for school administrators to prepare them for the experience. This paper presents knowledge about school consolidation, background information, research on the subject, and reasons for resistance. A case study of a successful consolidation will be presented. Drawing on the knowledge base and case study, recommendations for administrative training programs is presented.

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BACKGROUND

School consolidation has been an ongoing issue in rural America. Cubberly (1914) provided the earliest account of consolidation explaining that consolidation was an effort to “restore to the country child something like equal rights with the city child, in the matter of educational beginnings” (p. 48). The perception was, and is, that rural schools lag behind their city counterparts and students cannot get a good education in a rural school.

Various reasons account for the push to consolidate schools. The Industrial Revolution supported a model of uniformity and efficiency that advocated a “one size fits all” school. Political events such as Sputnik, the Cold War, “A Nation At Risk,” created concerns about the abilities of high school graduates and the ability of schools to prepare students for competition on an international level, with rural schools viewed as especially lacking in the ability to prepare students (DeYoung & Howley, 1992). The decrease in farms and agricultural related jobs and urban migration resulted in fewer students in rural schools. In the years from 1933 to 1970, more than 30 million people migrated from farms and the farm economic downturn in the 1980s continued the population decline. Decreasing funding for rural schools and an eroding tax base are frequently cited as reasons for consolidation. In summary, the usual reasons given for consolidation are to offset declining funds and enrollments, provide expanded curriculums, and increase student achievement.

Resistance to Consolidation

The term *consolidation* is sometimes euphemistically referred to unification, reorganization, or merger. However, among rural citizens the merging of attendance areas is referred to as the process of consolidation which results in one community considered the winner and one community the loser.

The school serves as the hub of many communities and the demise of the school is viewed as the end of the line for the community. The community suffers both socially and economically (Ivento, 1990) by the loss of the glue that binds the community together, as well as the tax base and valuation of the district. (Purcell & Shackelford, 2005).

Citizens are passionate about their hometown schools. Closing a school is perceived as detrimental to the community and these perceptions are long lived. Struss (1999) looked at the impact of the loss of a high school on the culture of one rural community in Minnesota. Ten years after the consolidation, community members felt that even though there might have been curricular improvements, it was at the expense of community identity and pride.

Perceptions may not match facts. Heinz (2005) conducted 180 phone interviews with citizens in nine Nebraska communities experiencing consolidation. Citizens perceived that due to the consolidations population had decreased and there were negative changes in retail sales, number of retail business, and property valuations. In fact, there were no significant changes in these areas and only per capita income had changed significantly. Even though facts did not match perceptions, citizens held strong and negative beliefs about the effect of consolidation on their communities.

A case study in Barnardsville, North Carolina (Buckner, 2005), illustrated the profound emotions surrounding the closing of a school. In this community the school was consolidated, but because of community effort, the school was then restored and deconsolidated. Even when considering the unique circumstances of new leadership and an increase in population, it was the community effort that restored the school.

Certainly the high visibility, the cost of schools, and the critical mission of schools justifies the examination of their effectiveness and merit; however, it's difficult to understand how schools are viewed as dispensable. In a report presented to the National Rural Education Association Executive Committee, Purcell and Shackelford (2005) pointed out, "Most people would never support the removal of other important primary institutions such as the economic, political, emergency services, religious or media organizations from our communities, and we feel the rural school community support function is equally important to the performance of a viable community" (p. 1).

Research on Consolidation

Educators, as do researchers, disagree on the merits of consolidation. However, to support the consolidation process, one must first agree with the premise that "bigger is better." As large schools have recently worked toward the smaller "school within a school" concept, it casts doubt on the one size—one large size—fits all approach to education.

The traditional argument of cost savings is also rebutted. Researchers for the Rural School and Community Trust (2006) reviewed numerous studies from 1960-2004 and concluded that consolidation had not necessarily reduced fiscal expenditures. High costs associated with consolidation were usually the construction of new facilities and transportation. School consolidation produced less fiscal benefit and greater fiscal cost than it promised. While some costs, particularly administrative costs, may have declined in the short run, they were replaced by other expenditures, especially transportation and specialized staff. Loss of a school also negatively affected the tax base and fiscal capacity of the district. These costs were often borne disproportionately by low-income and minority communities. Even if a higher per pupil cost was associated with small rural schools, it needed to be examined against the costs of higher dropout rates in medium and large high schools.

An excellent example of the lack of research supporting consolidation comes from the Center for Rural Pennsylvania, which is a legislative agency of the Pennsylvania general assembly. The Center was seeking to learn if the size of Pennsylvania's rural districts affected student academic performance and administrative and financial efficiency. The study of rural districts only, not a comparison of rural and urban, was especially appropriate as the school consolidation process resulted in small rural districts merging to form a larger, but still small rural district. Did larger rural districts fare better than smaller rural districts? Researchers examined background characteristics, fiscal management, administrative capacity, and student academic achievement to determine if there were significant differences. While differences did exist, they were not significant. There was no evidence to support the concepts of economy of scale, increased administrative efficiency through consolidation and higher academic achievement or more curriculum offerings in bigger districts. The report summary was, "Overall, the research did not find any evidence to support the notion that bigger districts are better districts, in terms of cost, administration or academic achievement, in rural Pennsylvania" (p. 5).

Supporters and opponents of school consolidation can both produce research to support their point of view. However, the research now is more balanced and must be studied by both sides. According to Purcell and Shackelford (2005), Theobald (2002) stated:

...consolidation has been a defining characteristic of educational history throughout the twentieth century. This characteristic was driven by a powerful assumption, albeit an unsubstantiated one, concerning the best way to go about the business of public

schooling. And that assumption is that “bigger is better.” Throughout the century, this unsupported educational policy was vehemently espoused even though it was demonstrably unkind to communities.

Recommendations for Consolidations

Few studies provide recommendations for consolidation. The National Rural Education Association provided the greatest leadership on the topic and commissioned a task force to study consolidation and issue recommendations. The task force reviewed history, summarized research, and offered conclusions and recommendations. The findings of the report (Purcell & Shackelford, 2005) were:

- The educational and financial results of state mandated school district consolidations do not meet legislated expectations.
- There is no “ideal” size for schools or districts.
- Size does not guarantee success—effective schools come in all sizes.
- Smaller districts have higher achievement, affective and social outcomes.
- The larger a district becomes, the more resources are devoted to secondary or non-essential activities.
- Local school officials should be wary of merging several smaller elementary schools, at least if the goal is improved performance.
- After a school closure, out migration, population decline, and neighborhood deterioration are set in motion, and support for public education diminishes.
- There is not solid foundation for the belief that eliminating school districts will improve education, enhance cost-effectiveness or promote equality.
- Students from low income areas have better achievement in small schools.

METHODOLOGY

Purpose of study

The purpose of the study was to better understand the processes used in a school consolidation. Specifically, the research questions focused on (1) What were the events in the consolidation process? (2) What were the reasons for success? and (3) What advice is offered by the Board of Education (BOE) and Superintendent for others considering consolidation?

Participants/Setting

The researcher examined the consolidation of two rural school districts in southeastern South Dakota. The community populations were 412 and 360 and K-12 school populations were 180 and 139. These communities were two of five small rural communities in a 20 mile radius. The communities had traditionally been archrivals in all athletic events and this added to the inconceivability that they would or could ever consolidate. The districts were similar in several ways. Both communities have a rural economy, mainly from farming and are seven miles apart. Both schools served a K-12 population and demonstrated academic success, with one school being on the state “Distinguished School” list for academic achievement. Both districts were experiencing small, about 10 students per year, declines in enrollment.

Financially the districts were similar with approximate general funds and although one district had approximately \$700,000 more bonded indebtedness, the same district also has a seven million dollar higher valuation which offset the difference.

Politically, the state legislature wanted more school consolidations as demonstrated by threats of removing any preferential funding for small schools and plans to force consolidation for districts with fewer than 100 students.

Data Sources

A case study was conducted on the consolidation of two rural districts. Data were collected the second year of consolidation, 2007. Data sources included the artifacts of board minutes, newspaper articles, and state reports. Semi-structured interviews of the superintendent and BOE members were recorded, transcribed, and coded for predominant themes.

Results

The researcher sought to identify the events in the consolidation process used by the two districts. A review of the process indicated that most events were deliberate and some were serendipitous. Through the late 1990s and early 2000s, both communities experienced declining enrollment. During those years, board of education members and superintendents in the five nearby communities had informally discussed the possibility of consolidation. Nothing seemed to present itself as an opportunity and plans did not materialized. However, in a proactive manner, a few of the boards had carefully maintained and deliberately improved the community school facilities. The obvious benefit was an improved facility, but an added benefit was that in the event of consolidation, the community would have a facility to offer up; thus improving the odds of having a school sited in their community. Both boards of education, in the communities that later consolidated, had informally discussed the possibility of consolidation; but, they moved in slow, deliberate steps over a four -year time period.

Then an opportunity presented itself. In 2002 one district had a superintendent vacancy and the two districts decided to share that position and those of both the high school and elementary school principals. Both BOEs met throughout the year to monitor progress. The plan was felt to be successful and the following year, 2003, the sharing of administrators continued and some faculty were shared. These were faculty positions that neither school could support full time. The football teams were combined.

The third year, 2004, resulted in the combination of all athletics programs. As all the athletic teams were now combined, new team colors and a mascot were chosen. This step was a high water mark in the process. Both communities were fiercely proud of their team histories and this meant student athletes were now, both literally and figuratively, on the same team. It presented a very visible break with the past. The green and white and red and white school colors where exchanged for blue and white uniforms. Fans learned a new school song. The student councils selected the new eagle mascot to retain aspects of both the former warrior and cardinal mascots. Parents and other community members were getting used to cheering together, working together, and planning together. Two more shared faculty positions were added.

By the fourth year, 2005, all shared positions continued and the addition of a world language teacher, shared between the schools, expanded the program of study. Prior to this, a world language was provided through video distance learning so the addition of a live teacher was viewed positively. At this time, several staff members and all administrators worked in

both districts, students were becoming friends, and the communities were developing a common culture. The BOE then decided to hold public meetings to discuss consolidation and conducted tours of the facilities in both communities. As all athletic teams were now combined, new team colors and mascots were selected. In the fall of the fifth year, 2006, public meetings continued and a consolidation plan was submitted to both the voters and the state. The components of the plan were:

- An elementary school would be maintained in one community
- A secondary school would be maintained in one community
- Bus riding time would not be extended
- Budgets would be combined
- Programs would be maintained and/or expanded
- Taxes from a previous “opt out” would be decreased

The components were explained to the public through public meetings and newspaper articles. The rationale for proposing the major components was: decreasing enrollment at both schools; state funding reductions; the decision could still be made locally and not mandated by the state; elementary combination classes would be avoided; there was already a successful history of combining staff and athletic programs; and there would be a small budget savings. While budget savings would accrue, the savings were never touted as an important reason to consider consolidation.

The consolidation election was held June, 2006, and passed with an 84% favorable vote to join the two districts. Next was the election of a new school board and personnel reductions of 5 secondary and 4 elementary teachers, 1 business manager, and ½ custodian. The personnel reduction process was outlined for staff by mid-year and severance bonuses were given to five teachers, as there were four retirements which offset reductions in force.

In the fall of 2006, students were welcomed to their new schools. Over the summer some of the budget savings were invested in both schools to provide improvements such as new carpet, paint, books, and lockers. Summer orientation introduced parents and students to new teachers and sparkling schools.

The researcher also sought to identify the reasons for a successful consolidation. The positive results of the consolidation can be attributed to several steps along in the process. Interviews with the superintendent and BOE members provided insight and identified the following conditions and aspects of the process that contributed to success:

- Local choice prevailed and allowed the communities to make their own decision. The state did not mandate the consolidation and communities had time and information with which to make decisions. School board members in each community were trusted and well known. This allowed for informal, as well as, formal discussions over a multi-year period.
- This was a multi-year process with all concerned carefully feeling their way through various circumstances and evaluating the arrangements. This allowed for corrections, questions, and concerns to be addressed. As a result, people did not feel this was a process rammed down their throats without their input or consent.
- Both communities kept their facilities well maintained with additions and remodeling as needed. This was done to provide quality schools at the time, but also to have facilities to “bring to the table” for any future consolidation discussions with other districts.

- The plan never stressed budget savings and did not over promise in any area.
- The major community concerns, in this case, no elementary combination classes and no increased bussing, were provided for in the consolidation plan.
- Each community retained a school.
- The early and gradual combination of athletic teams allowed time for adjustment.
- The process was made as transparent as possible. Public meetings were held, information was frequently distributed in various ways, and tours of facilities were conducted.
- The process included the larger community, not exclusively the school community.

The researchers also sought to identify what advice, if any, the BOE members and the Superintendent would offer to others considering a school consolidation. Interviews allowed the superintendent and the board members to reflect on the process and offer their best advice to others who might find themselves in a similar situation. The main themes that emerged from the board members were:

- Plan ahead and look to the future.
- Keep your options open.
- Work toward one school district rather than two communities.
- Forget the past history between communities.
- Support both communities to create a win/win plan.
- Keep the needs of students first.

Advice from the superintendent was:

- Understand what's happening in the legislature.
- Ask for help, e.g. state department of education, other superintendents.
- Keep the BOE informed and involved.
- Know your community.
- Communicate and hold public meetings.

While these pieces of advice may seem obvious, their application was challenging. They provide a model for common-sense problem solving and decision making.

THE IMPLICATIONS FOR ADMINISTRATIVE TRAINING

Rural schools exist in nearly all states and just as urban districts have unique challenges, rural districts do as well. School consolidation is one of the most important issues facing rural America, and yet, few school administrators know how to address the issue. The following recommendations would benefit students training to be school administrators, especially in rural schools:

- Build a knowledge base on the topic of school consolidation. Citizens expect school administrators to be informed on the topic, as they are influential in the outcome. This information is important to all administrators because of the state funding issues it affects. Administrators in suburban or urban districts may not ever find themselves part of a school consolidation process, but will certainly find themselves part of the state funding debate, of which school consolidation is a major factor. Also as

members of professional organizations, administrators are drawn into the debate. Programs of study should include this knowledge base.

- Aspiring school administrators should become aware of the oppositional points of view surrounding school consolidation and the research supporting them. Programs of study should include this research.
- Professors should update and expand their knowledge for instructional practice, as well as community and legislative consultation and advisement.
- Aspiring and practicing administrators need to become aware of strategies, such as those from the case study, that have proved successful in implementing a school consolidation. Programs of study should include these strategies.
- Practicing administrators who find themselves in the middle of a school consolidation controversy should be able to receive help from departments of education administration. Professional development opportunities should be provided for these administrators.

CONCLUSION

School consolidation is at the center of several state initiatives for school reform and school funding. As reported by the Rural School and Community Trust (2006) the states of Arkansas, Illinois, Iowa, Kansas, Kentucky, Maine, Nebraska, South Carolina, South Dakota, Texas, and West Virginia have active proposals or initiatives to consolidate rural districts and/or schools. On the other hand, some states have worked to develop policies that support rural education. Louisiana, after a state examination, concluded that consolidation did not provide improved schools and left any decision to consolidate with local boards of education. Oklahoma has proposed a constitutional amendment that would prevent consolidation without local approval and Wyoming provides preferential funding to rural districts.

Whichever situation rural administrators experience, they clearly need to understand the nuances of the topic, be conversant with the research surrounding the topic, and have strategies for approaching the prospect of a consolidation. This paper meets multiple needs. One purpose has been to provide relevant information and research for practitioners. Another has been to provide a case study for guidance and reflection. And still another to provide encouragement and recommendations for administrative programs of study to better prepare school administrators to meet the challenge of school consolidation.

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Ongoing Professional Development for Licensure Renewal: Has That Much Really Changed?

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State policy makers are creating policy to support a career-long system of administrator development (Sanders & Simpson, 2005). Over two-thirds of the states have amended state policies for education administrators since 2002. Almost every state now requires administrators to renew their licensure, often every five years. Renewal is often linked to the number of continuing education units (CEUs) of professional development an administrator receives over the life of his or her current certificate. Yet, licensure renewal is increasingly based on the completion of an individually-created professional development plan that addresses school improvement and student achievement (Sanders & Simpson, 2005). Policies related to administrator standards, assessment, mentoring, and certification have gained momentum over the decade from 1996 to 2006 and have been studied by researchers in the field (Levine, 2005; Murphy, 2003). Less attention has been paid to the ongoing professional development and licensure renewal of administrators once they receive their full administrator license (Adams & Copeland, 2005; Roach, 2006).

The purpose of this study was to determine how local school administrators in one mid-Atlantic state implemented the requirements for recertification after obtaining the full administrator certificate. Understanding the implementation of ongoing professional development policies after an administrator reaches full licensure may provide clues for structuring policies to ensure maximal implementation. The question driving this study was: How do local school administrators interpret and fulfill the requirements for certificate renewal after obtaining the full administrator certificate? By better understanding how administrators renew their certificates, state policy makers and local administrators can enhance future planning for ongoing professional development to support administrative effectiveness. While licensure and certification are two distinct processes, the former minimal competency and the later professional accomplishment (Adams & Copeland, 2005), the two terms were used interchangeably in this study.

Research on the link between state-level ongoing professional development policies and professional development plans and activities of school administrators is scarce. While studies have focused on new trends in state policy for education administrators, they have not explored the implementation of those policies at the local or individual level (Illinois State Action for Education Leadership Project, 2005; Murphy, 2003; Sanders & Simpson, 2005; Toye, Blank, Sanders & Williams, 2007). One notable exception is Firestone, Hayes, Shalaby and Robinson's study (2007) of local administrators' professional development plans and their relationship to the Professional Development Initiative for School Leaders in New Jersey. Firestone, et al. were interested in the degree to which administrators' professional growth plans focused on instructional leadership and student achievement. While the majority of the plans were focused on student achievement, only about one third of the plans "focused on instructional issues," (p. 24). Unlike recent changes in other states where ongoing

professional development is a requirement of licensure renewal, professional development in New Jersey is linked to district certification (New Jersey Administrative Code, Title 62, Chapter 30, 2005), with no specific state review of plans and “little oversight,” (Firestone, Hayes, Shalaby & Robinson, 2007, p. 35). The researchers suggested that “more pointed guidance to administrators” may be in order if ongoing professional development focused on instructional improvement is a state priority (p. 36).

CONCEPTUAL FRAMEWORK

This study was guided by a two-part conceptual framework: recommended best practices in professional development and an emergent framework for policy implementation.

Recommended Best Practices in Professional Development

The National Staff Development Council delineated three types of professional development standards: context standards, process standards, and content standards (National Staff Development Council, 2001). Together, these standards are focused on professional development that is on-going, context-specific, embedded within the goals of the school and district, and data-driven. St. John, Manset-Williamson, Chung, and Michael, in their 2005 study of state policy claims about professional development, noted that school-based, collaborative professional development, embedded in the day-to-day work of educators, positively impacted student learning, an outcome substantiated by other researchers (Education Commission of the States, 1997 as cited in St. John et al., 2005; Guskey & Sparks, 1997 as cited in St. John et al., 2005). In their study of state administrator licensure, Adams and Copeland suggested a framework of licensure, advanced certification, professional training, and research that is ongoing, connected to school and community goals, and related to school performance.

The degree to which a state policy on ongoing professional development of school administrators is implemented is based, in part, on the degree to which the policy reflects known best practices in professional development. Policy success also depends on implementation.

Framework for Policy Implementation

Desimone, Smith, and Phillips (2007) suggested a policy implementation paradigm that recognized the professional capacity of local educators. In their study of the Schools and Staffing Survey (SASS) data, the researchers described attributes of the policy environment that increase policy implementation as follows:

1. Authority—“the extent to which a policy is accepted and persuasive” (p. 1089);
2. Power—the rewards and sanctions attached to a policy;
3. Consistency—alignment with other elements of the policy system; and
4. Stability—of both actors and ideas in the policy environment.

They found that teachers tended to participate in research-based professional development given the authority of the policy, more so than the sanctions attached to the policy. This is consistent with earlier research related to the implementation of policy mandates versus incentives; mandates tend to be implemented through minimal compliance (Firestone, 1989).

Desimone et al., found that low teacher turnover (stability) was more closely related to participating in effective professional development than was policy alignment (2007). In this policy paradigm, implementation success is largely dependent on the perception and capacity of the individual educator. This framework specifically diminished the utility of sanctions and rewards, as utilized in education policy in the 1960s and 1970s. Unlike the systemic, standards-based reforms of the 1980s and 1990s (Raber, Roach & Fraser, 1998), this framework for policy implementation suggests that local implementers are able (and, assumedly willing) to implement policies that resonate with their professional sensibilities, rather than merely looking for contextual cohesion.

Thus, effective policy implementation should be based on best practices in professional development related to student achievement and school improvement. That is, it should focus on monitoring teacher effectiveness, creating expectations for students, and developing and maintaining a vision for learning and a school culture for school improvement. The professional development actions of the principals should be sustained over time, context-specific, and embedded in their day-to-day work. The policy itself is more likely to be implemented with fidelity if it is persuasive and principals are in a stable environment. It is more likely to be implemented through minimal compliance if the policy is seen to be misaligned and inconsistent with local context and values.

Based on the study in New Jersey, Firestone et al. suggested that state policies that are more “pointed” in nature may support greater fidelity to implementation. Other states that require on-going professional development as a requirement for licensure renewal provide a policy environment to test the degree to which “pointed policies” result in local implementation. North Carolina is one state that can be used for this purpose.

NORTH CAROLINA ADMINISTRATOR LICENSURE RENEWAL

North Carolina updated its administrator certification standards in 2002 (Toye et al., 2007) and has aligned much of its state administrator development policy since then into a coherent system (Adams & Copeland, 2005; Sanders & Simpson, 2005). North Carolina has a tiered licensure system, the Standard Professional License I and II for both teachers and administrators. The Standard Professional License I entitles the holder to begin practice and the Standard Professional License II is issued for ongoing practice (16 North Carolina Administrative Code 06C .0304, effective 2006). The Administrator/Supervisor credential is differentiated by role, as suggested by Adams and Copeland (2005), and includes endorsements for superintendent, assistant or associate superintendent, principal, assistant principal, or curriculum-instructional specialist, (North Carolina Administrative Code, 2006; Toye et al., 2007).

Standard Professional License II is the terminal license in North Carolina and is renewable every five years. Renewal is based on completing 15 CEUs of renewal credit based on a metric of one credit per higher education quarter hour or 2/3 semester hour of higher education credit. One CEU is also equal to ten hours of professional development. The CEUs may be based on college or university credit, professional development activities approved by the local district, National Board Certification activities, or locally agreed upon independent study activities. As of July 1, 2007, school administrators must earn at least five CEUs each cycle focused on “the principal’s role in teacher effectiveness, teacher evaluations, teacher support programs, teacher leadership, teacher empowerment, and teacher retention” (16 North Carolina Administrative Code 06c .0307, effective 2006). All licensed teachers and administrators currently employed in North Carolina, must maintain an individual

professional growth plan. CEUs are earned in the context of the individual professional growth plan. Renewal activities are evaluated by local education agencies to ensure their link to school improvement plans and district professional development priorities (16 North Carolina Administrative Code 06C .0307, effective 2006).

The North Carolina policies related to the development and licensure of school administrators are largely consistent with best practice recommendations. Hence, investigation of the licensure renewal practices of administrators in North Carolina can provide important insights into the effectiveness of state policy development in this area.

METHODOLOGY

The question driving this qualitative study was: How do local school administrators interpret and fulfill the requirements for certificate renewal after obtaining the full administrator certificate? To answer the question, a semi-structured interview protocol was developed (Seidman, 1991). The interview protocol had three parts. The first part contained questions related to the respondent's current licensure status, years as an administrator, and years in his or her current administrative position. The second part of the protocol contained questions related to professional development practices, especially those related to licensure renewal. The final section of the protocol contained questions and probes specifically related to the state licensure renewal policy.

The sample for this study included building-level administrators, the central office director of human resources, and the associate or assistant superintendent in charge of professional development in each of two districts. The ten building administrators were either principals or assistant principals at either the elementary, middle, or high school level in one of two local school districts from one geographic region of the state. The building-level administrators ranged in experience from 1 to 24; years as local administrators, all but one of the building-level administrators had been in their current position no more than two years.

The data were analyzed for the degree to which respondents understood the state licensure policy or could describe experiencing procedures in their district that were consistent with the licensure policy. District-level responses were analyzed to determine the degree of ownership for the policy assumed by the local district, how policy compliance was monitored and maintained, the degree of alignment of the policy, its implementation and other local efforts. Findings and interpretations were then reviewed by the peer-reviewer who is also an administrator in one of the target districts.

FINDINGS

The State Policy and Licensure Renewal

Overall, administrators know very little about the state licensure structure. Only one administrator knew the name of his license. When asked what type of license they had, most responded with their endorsement areas, "principal," "C&I," or "superintendent." As one principal noted: "I don't know what kind of license I have. I had a permanent New York license that I sent to the Board, and they got my [state] license for me." Several asked if the question was related to their graduate degree. In contrast to the name of the license, administrators all knew when their current license was due to expire and how many years they had left before the license had to be renewed.

Central office personnel generally managed the ongoing licensure process and applied for the licensure renewal on behalf of the administrator. The candidates themselves did not manage this process. The level of support from the district varied. One district relied on a computerized system to tally approved CEU activities. The other district relied on a yearly manual tally of activity. Both systems notified building-level administrators (as well as their teaching staff) of their earned CEUs to date on a regular basis. As one human resource director noted, “I help monitor licensure, or get one if needed. I track CEUs for all personnel, including principals. I serve as the person who is responsible for licensure in this district.” While the other human resource director functionally described the same role, she was clear to note, “Licensure is a personal responsibility. We help them meet their requirement, but it is a personal responsibility.”

Administrators had little to no understanding of the state role in ongoing licensure renewal. Administrators noted:

“We have to send contract hours to the Board on an annual basis. I do not know what happened to it from there”;

“Great question”; and,

“I have no knowledge of state involvement.”

In part, this is related to the structure of the state policy itself. The state policy specifies continuing education units needed in specific content areas, but provides flexibility to localities to make decisions regarding content. This also reflects the limited state involvement in monitoring the process. As one human resource director noted,

I make sure each file is complete, make sure the people attended the sessions; I keep their certification on file. I monitor the district. I have to turn the files into the state for review when the certificates are ready to be renewed. I add internally to the file, and then when the person is ready for renewal, I send the renewal to the state. For new teachers, I will be audited next year. It’s a regular five-year cycle along with Title I and special education. I have the information [for ongoing renewal], but no one has ever come. I am ready if we are audited. (5th year human resource director and 20 year veteran of the district)

Administrators knew when their license expired, but not what was required to renew the license. And, in this context, the myths abounded. Principals named completing 50 hours in 5 years; completing 5 hours in administrative professional knowledge. While one administrator noted that renewal required ‘so many credits in reading, so many in technology,’ another administrator replied that there were “no real state goals and [w]e just have to get the number of state credits.”

For administrators, the focus was on professional development. Administrators valued professional development and licensure renewal was viewed simply as a by-product of that activity. As one administrator noted, “It’s a hoop to jump through, but you get to draw your own hoop.”

Administrator Ongoing Professional Development

Building administrators were closely focused on professional development for the purposes of supporting teachers, school improvement, and personal development. The context

was local, the process was generally ongoing, and the professional development was closely linked to the professional development that teachers received as a way to support teachers. Administrators described attending sessions on middle school reform, writing across the curriculum, cultural awareness, professional learning communities, brain research and brain-compatible learning. Some administrators were relatively new to their position and also had been involved in the state-sponsored leadership academy.

The state administrator evaluation system requires that each principal develop personal growth plans and individual goals, based on school improvement plans. The pursuit of these goals becomes the CEUs needed for licensure renewal. Growth plans were directly related to student achievement and other district goals. As a principal noted:

Generally the superintendent gives goals for the county and then we have a discussion of how does this effect me. We look at school goals, staff goals, and individual goals. I look at strategic planning all year based on these goals.

Professional development generally fell into two categories: (a) curricular and instructional strategies that were being implemented in the district and used by teachers; and, (b) leadership and administration workshops geared toward evaluation, management of the building, and personnel. Of the curricular and instructional strategies, assistant principals and principals tended to attend professional development activities that were specified by teachers. As one assistant principal noted, "I participate in professional development that is offered to teachers. It helps me stay current and know what they are held accountable for. I can be more effective in modeling behavior and evaluating instruction when I participate in training." The professional development related to teacher development tended to be multi-year and part of a larger school or district initiative, such as the brain-compatible learning initiative. To a lesser extent, administrators participated in workshops geared specifically to building leadership. One of the districts that had a high percentage of new principals ran a leadership academy for all administrators new to the district in which district strategic plans were developed. Principals attended sessions on "walk throughs" and teacher evaluation.

The most prevalent form of professional development was provided within the district, either by district officials or external experts. A priority was placed on providing professional development in the district so that principals and teachers would not have to incur costs driving to other places or staying in a hotel. The state department of education and independent consultants were often mentioned as providers of professional development. Both districts employed a turn-key training model. That is, relying on the person who was trained externally to come back to the district and train others. Noticeably absent was any mention of university-based education administration programs in the ongoing professional development process outside of obtaining the initial administration degree.

DISCUSSION

This study was based on a two-part framework of best practices in professional development and policy implementation based on authority, power, consistency, and stability. Based on the interviews with assistant principals, principals, human resource directors, and assistant superintendents, professional development appeared to reflect the elements of best practice. Professional development was described as embedded in school reform, context-specific, ongoing, and focused on student achievement and school improvement. Administrators described attending instructionally-based sessions as a way to understand

better how to support teachers implement instructional initiatives. It was clear in these two districts administrators were expected to be knowledgeable about issues associated with teaching and learning.

The licensure renewal policy appeared to have three of the four policy implementation attributes associated with implementation (Desimone et al., 2007). The policy appeared to have authority as administrators were required to have professional growth plans that were self-developed with input from the superintendent, thus making the professional growth plans relevant. Indeed, the policy was being implemented as intended, with or without administrators' cognizance. The policy was consistent in that licensure renewal was required to link to the professional growth plan of the school and district. And, the policy was stable in that policy change had been made incrementally in the state (16 North Carolina Administrative Code 06C.0304, effective 2006). The one element of the 4-part framework offered by Desimone et al. that did not appear present in this context was the power element. In this instance the threat of losing one's license seemed extreme and highly unlikely, particularly since the state did not monitor the local district for compliance in this area. The Desimone et al. framework seemed to apply.

Given the limited data in this study, it does appear that administrator behavior at the local level can be influenced through policy approaches that are more subtle (i.e., employing stability, consistency, and authority) and are based on best practices in professional development. While Firestone et al. (2007) suggested more "pointed" approaches to ensure policy implementation, the data from this study suggest that a different paradigm altogether may be more likely to result in policy implementation. Power was not influential in the implementation process.

The 4-part policy attributes discussed by Desimone et al. (2007), were useful in analyzing policy implementation. Although the policy is fundamentally a mandate, and "powerful" as defined by Desimone et al., the policy seems to be enacted based on the strength of its persuasiveness. The policy, last amended in January 2006, with the last section going into effect in July 2007, coupled with the relative instability of many administrators in their positions (serving two complete years or less), does not necessarily meet the stability criteria. The policy is, however, high on the consistency measure as administrators demonstrated compliance to the law, based on their own sense of professional development and need to link to the school improvement plan and improve their schools. So, in contrast to the teachers studied by Desimone et al., policy implementation in this study was connected to persuasiveness and consistency, rather than persuasiveness and stability. The combination of high consistency and persuasiveness supported the implementation, despite low stability. Thus, while the North Carolina policy is more "pointed" (albeit without monitoring) as Firestone suggested, implementation did not seem to be dependent on that pointedness, or "power" as Desimone et al. (2007) describe.

Study results suggest that the policy in North Carolina is supporting the implementation of ongoing professional development among administrators. With little to no attention to the mandated licensure aspects of the professional development requirements, principals in these districts engaged in professional development that was consistent with the policy, for the sake of supporting teaching and learning. Licensure renewal, was a by-product, rather than a driving motivator for their behavior. Hence, administrator behavior can be influenced by policy approaches that are both more subtle and that assume a level of professionalism among administrators. While limited in generalizability, this study stands as a cautionary note to states when constructing policy. Ongoing professional development policies enacted and

implemented in a punitive fashion may be less successful than policies that are persuasive as making sense to practitioners.

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CHAPTER 4

PHASE CHANGE MATERIALS

HIGHER EDUCATION LEADERSHIP PRACTICES

CHAPTER 4

PHASE CHANGE MATERIALS

LOGIC MODELS: EVALUATING EDUCATION DOCTORATES IN EDUCATIONAL ADMINISTRATION

Theodore B. Creighton

THE EDUCATION DOCTORATE (ED.D.) LANDSCAPE

Over the last decade we have witnessed a noticeable increase in the number of colleges and universities offering programs in educational administration. Researchers (Creighton & Jones, 2001) identified over 450 universities offering masters and/or doctoral programs in educational administration and more recent studies (Golde & Walker, 2006) reveal a surge in Ed.D. programs in educational administration approximating 250 across the 50 states. Recently, several states that in the past permitted a select few universities to offer the Ed.D. (e.g., California, Kentucky, and others) have passed legislation opening the door for many other institutions to submit proposals to confer the Ed.D.. In California, for example, until recently only the University of California system (9 campuses) could offer the Ed.D. but under new law, institutions comprising the California State University (CSU) system (23 additional campuses) can submit Ed.D. program proposals to the California State University Board of Trustees. As of March 2008, seven CSU campuses have been approved for 2007–2008, with the remaining campuses scheduled so that all 23 campuses will by 2011 offer the Ed.D. (R. Papa, personal communication, March 21, 2008). This movement is somewhat paradoxical happening at the same time our loudest critic (Levine, 2005) is recommending the elimination of the Ed.D.

The Carnegie Project on the Education Doctorate (CPED) is a recent effort by the Carnegie Foundation for the Advancement of Teaching and the Council of Academic Deans in Research Education Institutions to strengthen the education doctorate. Approximately two-dozen colleges and universities have committed to working together to undertake a critical examination of the doctorate in education with a particular focus on the highest degree that leads to careers in professional practice. The intent of the project is to redesign and transform doctoral education for the advanced preparation of school practitioners and clinical faculty, academic leaders and professional staff for the nation's schools and colleges and the organizations that support them.

We all want effective doctoral programs for our aspiring and practicing school leaders. And we want to continually evaluate and assess those programs in regard to how well we are preparing educators with the terminal degree in our field. There are many effective models of program evaluation. The model I present in this chapter, though previously used primarily in the evaluation of federally-funded social programs, has applicability and usefulness in the evaluation and assessment of the education doctorate. Beyond suggesting the effective use of *logic models*, I detail their actual use in the assessment of a newly designed EdD at a major research university.

EVALUATING THE SUCCESS AND EFFECTIVENESS OF ED.D. PROGRAMS

Hopefully, it is not necessary to detail the purpose and need for sound program evaluation. Good evaluation plans not only provide evidence of whether or not the program is working but also provide the opportunity to improve the quality of the program on a continual basis. Ed.D. programs are no exception. It is the belief of this author (admitting a lack of empirical evidence) that one of the reasons our critics are so large in number and so frequent in their charges of mediocre programs at best (Levine, 2005), is due to our lack of substantive models for conducting Ed.D. program-level evaluation.

All too often, our approaches to program evaluation focus only on the *inputs* (i.e., resources) and *outputs* (i.e., number of graduates) and on occasion extend to *outcomes* (i.e., changes in participant behaviors, attitudes, knowledge, and skills) without assessing the *impact* of our program or the environment in which our university and doctoral student market exist. Most problematic is much evidence (found in personal external reviews of university Ed.D. programs and proposals in several states) that many Ed.D. programs either neglect program evaluation altogether or wait until preparing for the next National Council for the Accreditation of Teacher Education (NCATE) or Southern Association of Colleges and Schools (SACS) visit to implement a program assessment tool.

In a 2008 proposal to establish a doctoral program at Manhattanville College in Purchase, New York, the program coordinator and author of the proposal included the following:

In the book, *The Assessment of Doctoral Education* (Maki & Borkowski, 2006) the authors make the point repeatedly that program evaluation/assessment is rarely done well, and is often not done at all. We thus have very little information about how effective doctoral programs are in preparing doctorates for short-and long-term career success. Our ignorance on these matters and the lack of comprehensive national data is particularly surprising because there is so much interest on the part of those who fund doctoral education..., as well as employers, universities, and students. (Willis, 2007, p. 88)

Though educational administration may be guilty of not taking seriously the need for high quality, rigorous and systematic Ed.D. program evaluation, I suggest we are at a “tipping point” (Gladwell, 2002) and must remedy the situation quickly. I say this for two important reasons. First, with the recent increase in university Ed.D. programs I believe the negative reputation advanced by critics of the Ed.D. as a haven for mediocre doctoral students (Murphy & Vriesenga, 2004) will grow without a focused commitment to program quality and continuous improvement. Only a well-planned and systematic program evaluation can provide the knowledge base from which to make decisions that lead to well-informed program goals and objectives.

Perhaps this position of responding to the critics and *outsiders* who make their assumption-based review of our doctoral programs in educational administration is more reactive than proactive. Nonetheless, we are under pressure to demonstrate the effectiveness and worth of the education doctorate and this pressure may be a *blessing in disguise* forcing us to address the issue of quality program evaluation. There is an urgent need for

accountability informed by evidence that the Ed.D. is having measurable impact on school improvement.

Second, as we shape the Ed.D. more toward a professional-practice degree, our graduates must have experience and expertise in sound program evaluation. Many Ed.D. program curricula already have courses in program evaluation. There seems to be a disconnect here as we take seriously the need for our doctoral students to have instruction and expertise in program evaluation but do not take quite so seriously the need for our program itself to engage in regular and rigorous evaluation. We have an opportunity to combine purposes and objectives before us. I provide an example from the Manhattanville professional-practice doctorate:

Because the Manhattanville College doctoral proposal is for a professional practice doctorate in a field where graduates must have expertise in program evaluation, we believe the best approach to this component of the program's operation is to make it a collaborative, participatory component that is integrated into the students' learning experiences. While students will not conduct all the assessment and evaluation procedures, they will be involved in all aspects of the evaluation/assessment process. (Willis, 2007, p. 89)

HISTORICAL CONTEXT OF PROGRAM EVALUATION

Although society has been involved in trying to solve social problems using some kind of rationale or evidence (i.e., evaluation) for centuries, formal program evaluation in the United States began with the ambitious, federally-funded social programs of the Great Society initiative during the mid- to late-1960s (W.K. Kellogg Foundation, 2007a, p. 4). But as resources and monies were infused into these programs, the social problems did not disappear. The public began to insist on evidence of the effectiveness of these programs before providing continued support and resources. "Systematic evaluation was increasingly sought to guide operations, to assure legislators and planners that they were proceeding along sound lines and to make services to their public" (Cronbach, 1980, p. 12). Because resources were limited, a basis was needed for deciding which programs to invest in.

Program evaluation as a distinct field of professional practice was born of two lessons: First, the realization that there is not enough money to do all the things that need doing; and second, even if there were enough money, it takes more than money to solve complex human and social problems. As not everything can be done, there must be a basis for deciding which things are worth doing. (Patton, 1997, p. 11)

While it may be true that many education doctoral programs do not take seriously the need for high quality regular program evaluation, some recent national and international studies provide a basis for the development of effective Ed.D. evaluation models. Golde and Walker (2006) highlighted the important component of program evaluation and assessment and recommended an extensive involvement of students in the program evaluation process with a "deliberate, evidence-based, holistic, self-reflective assessment process" (p. 75).

WHAT IS A PROGRAM LOGIC MODEL?

The work of the W.K. Kellogg Foundation provides practitioner-scholars in the field of educational administration with a practical, easy to use, and well-tested model for evaluating

Ed.D. programs. The Foundation's *W.K. Kellogg Foundation Evaluation Handbook* (2007a) is a step-by-step manual for conducting program evaluations, and in which the concept of *program logic model* is introduced. The *W.K. Kellogg Foundation Logic Model Development Guide* (2007b), a companion publication to the *Evaluation Handbook*, focuses on the development and use of the program logic model.

The Foundation offers its experience and resources to increase the practitioner's voice in the domains of planning, design, implementation, analysis, and knowledge generation. They have found the *logic model* and its processes to facilitate thinking, planning, and communication about program objectives and actual accomplishments. The process of developing the model is an opportunity to chart the course. It is a conscious process that creates an explicit understanding of the challenges ahead, the resources available, and the timetable in which to hit the target (W. K. Kellogg Foundation, 2007b, p. 3).

To be more specific and get to the real meaning of logic models, the Foundation definition will be helpful here:

The program logic model is defined as a picture of how your organization (or program) does its work—the theory and assumptions behind the program. A program logic model links outcomes (both short- and long-term) with program activities/processes and the theoretical assumptions/principles of the program. (W. K. Kellogg Foundation, 2007b, p. 4)

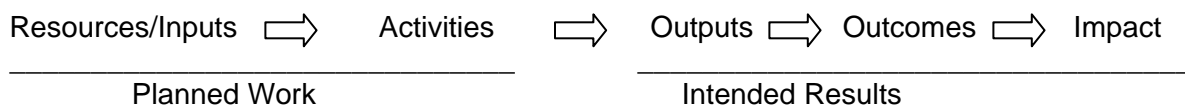
In general, logic modeling can greatly enhance the participatory role and usefulness of evaluation as a management and learning tool. Developing and using logic models is an important step in building program capacity and strengthening the voices of all involved. The ability to identify outcomes and anticipate ways to measure them provides all program participants with a clear map of the road ahead.

LOGIC MODELS MORE CLEARLY DEFINED

First, we must agree that effective program evaluation does more than collect, analyze, and provide data. Similar positions have been stated elsewhere (Creighton & Glenn, 2008). Data-driven decision making has been replaced with a new concept of evidence-based decision making. The point is that reacting to existing data is a first step, but more important are the investigation and reaction to below-the-surface or unreported data—evidence. Secondly, we see the real value of using logic models as providing the vehicle to assess continually and adjust continually (if and when needed).

Essentially, a logic model is a systematic and visual way to present and share your understanding of the relationships among the resources you have to operate your program, the instruction and activities you plan, and the changes or results you hope to achieve (W. K. Kellogg Foundation, 2007b, p. 1). The most basic logic model is a picture of how you believe your program will work. Figure 1 displays the shell of a logic model.

Figure 1. A Basic Logic Model.



The five steps or components are defined here as they pertain to an Ed.D. program. *Resources* include the human, financial, and organizational resources available to design the curriculum and activities and deliver instruction. Resources are sometimes referred to as inputs and include such things as: (1) a critical mass of qualified and experienced faculty, (2) travel funds for off campus programs, and (3) necessary technology to support the delivery of the Ed.D. program. It is important to recognize that in the evaluation of resources you also consider the balance of four organizational factors. Kaufman, Herman, and Watters (1998), in their landmark treatise on strategic, tactical, and operational educational planning present a model focused on Strengths, Weaknesses, Opportunities, and Threats (SWOT). *Strengths* are important to consider: but so are *weaknesses*: *Opportunities* are essential but equally important to analyze are *threats*. Barriers, weaknesses, and threats might be such entities as negative attitudes from faculty, lack of resources from administrative units, or contextual factors within the larger community such as socio-economic, geographic, and/or political inequities.

Program Activities represent what the Ed.D. program does with the resources. Activities are the tools, events, and actions that are essential for the Ed.D. program implementation. These interventions are designed and used to bring about the intended program changes or results. Examples include (1) designing research and field studies to bridge the gap between theory and practice, (2) implementing advising and mentoring strategies to reduce Ed.D. time to degree and increase graduation rates, and (3) aligning courses and dissertation research with faculty interests and expertise.

Outputs are the direct and obvious products of the implemented activities and include such things as (1) satisfactory student grades, (2) number of students progressing through program benchmarks, (3) dissertation completion rates, and (4) graduation rates. In addition, outputs may be the number of classes taught, meetings held, or materials produced and distributed (W. K. Kellogg, 2007b, p. 8).

Outcomes, often confused with *outputs*, are the specific changes in the Ed.D. program participant's behavior, knowledge, skills, and habits of mind and are usually expressed at an individual student level. Faculty behaviors are an important assessment point, as well. Outcomes as opposed to outputs take considerable time to develop and are more complex and interdependent than the quantitative data typically collected and analyzed by departments of educational leadership and colleges of education. Where outputs are relatively easier to observe and measure (e.g., completion rates, GPAs, etc.), outcomes are more difficult to define and measure and often require more than traditional ways of assessment. For example, assessing habits of mind (dispositions) will likely require observing actual performance in the field over time rather than in the university classroom. Some examples of outcomes are (1) Ed.D. student develops a commitment to improve teaching and learning in their schools, (2) the Ed.D. student displays an increased knowledge of using data to improve decision making,

and (3) the Ed.D. student becomes more able to process multiple tasks and determine appropriate solutions.

Impacts are not often considered in most Ed.D. program evaluations because impacts generally take place after Ed.D. graduates leave the university. We rarely conduct follow-up studies to observe and evaluate what our graduates accomplish years after they receive their degrees. Even more rare is the assessment of impact that faculty have on the effectiveness and improvement of the Ed.D. program. One might posit that impact is the essence of good evaluation plans and the only true measure of our success or failure in preparing school leaders who will make a difference in school improvement. Examples of impact might include (1) Ed.D. graduates are directly responsible for the improvement of student achievement at their schools ; (2) through improved relationships with area schools, faculty have helped to improve the reputation and prestige of the Ed.D. program among school superintendents and communities; and (3) the Ed.D. graduate has moved into positions such as state superintendent of instruction, director of elementary or secondary education, or other positions influencing education policy. “Impacts are organizational, community, and/or system level changes expected to result from program activities, which might include improved conditions, increased capacity, and/or changes in the policy arena” (W. K. Kellogg Foundation, 2007b, p. 8).

HOW TO READ AND INTERPRET A LOGIC MODEL

Reading logic models is pretty straightforward with a left to right description of planning through results over time. Others have researched elsewhere the use of “verbal logic truth tables” in dealing with content and construct validity (Creighton, 1996; Coleman, & Adams, 2001), by setting up a form of reasoning that helps confirm similarity among descriptors within a known construct and to confirm discreteness among different constructs. The strategy used in verbal logic involves the use of “if...then...” statements. It is beyond the scope of this chapter to cover the use of truth tables in detail but a simple example will help set up my intent to connect the reasoning to the effective reading of program logic models.

Let’s suppose we want to use a survey instrument to measure a principal’s problem-solving skills. We would want to include more than one question on the survey that measures problem solving skills (usually 6-8 separate items on the survey). Here we will look at only two. For the sake of argument, let’s agree that problem solving skills can be demonstrated by a principal’s ability to (1) use innovation in solving tasks and (2) process multiple tasks simultaneously. Now, set up an “if...then...” statement using these two descriptors or look-fors.

If a principal uses innovation in solving tasks then he/she processes multiple tasks simultaneously.

If we agree with this statement, the two look-fors are likely related to problem solving and are two different ways of measuring problem solving. If we disagree with the statement, they are likely unrelated and might be measuring two separate constructs (e.g., problem solving and communication). The problem with using “if...then...” statements not in agreement is that survey responses are less reliable and can lead to incorrect hypotheses or conclusions.

The point is that the use of “if...then...” statements can help connect and confirm the logic and our understanding between concepts. Transferring this procedure to the logic model

presented in Figure 1, the use of “if...then...” statements will help with the reading and understanding of the logic model, as shown in Figure 2.

Figure 2. How to Read and Interpret a Logic Model.

Certain resources are needed to operate your Ed.D. Program	IF you have access to the resources, THEN you can use them to accomplish your Ed.D. planned activities	IF you accomplish your planned activities, THEN you are likely to deliver the new Ed.D. programmatic features	IF you deliver the new programmatic features, THEN your Ed.D. students will increase their level of functioning	IF doctoral students increase their level of functioning, THEN certain changes in schools, communities, and the level of teaching and learning might be expected to occur
Resources	Activities	Outputs	Outcomes	Impact

The purpose of the logic model (W. K. Kellogg Foundation, 2007b, p. 3) is to provide faculty, doctoral students, and other stakeholders with a roadmap describing the sequence of related events connecting the need for the planned Ed.D. program with the program’s desired results. Logic models help us visualize and understand how the human and financial resources can contribute to achieving our program goals and objectives which can lead to program improvements.

The CPED focuses on an underlying question: How do we create an Ed.D. framework for assessment and accountability that takes advantage of our diversity and yet helps us account for our efforts to reclaim education’s doctorates within and across programs, strands, and institutions? The CPED is using the logic model because they believe the answers to the above question are as follows:

1. Logic Models are built with the end in mind;
2. Logic Models change over the course of the project;
3. Logic Models are unique to each institution’s project, but...
4. Logic Models provide a common framework, so...
5. Logic Models can help us document progress across institutions and across strands.

Reflecting on the end in mind (impact), we want to focus on how we can change our Ed.D. program design (outputs) that will lead to our outcomes (changes in student attitudes, skills, knowledge and level of functioning), to enhance educational practice, research, and ultimately, policy (impact).

DEVELOPING AN ED.D. PROGRAM LOGIC MODEL

As stated earlier, the logic behind the use of logic models is to define the results we desire first – Outcomes and Impact. Recall that *impact* is the fundamental intended change to occur in our Ed.D. program, our communities, and ultimately the improvement of teaching and learning at our school sites and *outcomes* represent those changes in the program participant’s, both students and faculty, behavior, knowledge, skills, habits of mind, status,

and level of functioning that we believe will lead to our desired impact. Figure 3 displays the Logic Model used at Virginia Tech in the redesign of the Ed.D. program in educational leadership and policy studies in conjunction with the Carnegie Project on the Education Doctorate.

A quote from Yogi Berra might be helpful here: *If you don't know where you're going, how are you gonna' know when you get there?* Educators have found the concept of *backward mapping* to be helpful in determining where we're going first, then deciding how we want to get there and how we will know when we get there. In using program logic models, deciding on your outcomes and impact first helps to create appropriate inputs, activities, and outputs.

Much evidence (W. K. Kellogg Foundation, 2007b, p. 6) suggests several benefits of *program logic models*. First, in the planning and designing phases of EdD programs, logic models help to find gaps in the theory and logic of a program and work to resolve them. For example, we found at Virginia Tech when thinking about impact that we were mistakenly viewing graduation rates as impact when in fact completion rates are at best only outputs. The logic model helped us to realize that we were missing measurements of outcomes and impact. Second, logic models help to build a shared understanding of what the program is all about and how the parts work together. As we begin to look at syllabi alignment with the Interstate School Leaders Licensure Consortium (ISLLC) standards, we realize the importance of the program contributing to student outcomes as a whole rather than by the contributions of individual courses (or faculty members). Third, the program implementation phase focuses attention on management on the most important connections between action and results. The implementation of early selection of academic advisors results in the creation of the Ed.D. student's program of study at the entry point rather than at the end of the program. Last, during the evaluation and marketing phase, logic models provide a way to involve and engage stakeholders in the design, processes, and use of evaluation. These ideas are portrayed in

Figure 3. Inserting Outcomes and Impact.

Certain resources are needed to operate your Ed.D. Program	IF you have access to the resources, THEN you can use them to accomplish your Ed.D. planned activities	IF you accomplish your planned activities, THEN you are likely to deliver the new programmatic features (e.g., action-based research dissertations)	IF you deliver the new programmatic features, THEN your Ed.D. students will increase their level of functioning such as attitudes, behaviors, knowledge and skills	IF doctoral students increase their level of functioning, THEN certain changes in schools, communities, and the level of teaching and learning might be expected to occur
Resources	Activities	Outputs	Outcomes	Impact
			1. Ed.D. students will display an increased knowledge of using data to improve decision making. 2. Ed.D. students will become more able to process multiple tasks and	1. Graduates will positively impact student achievement in their schools. 2. Graduates will positively impact quality of instruction (teaching) in their

			determine appropriate solutions. 3. Ed.D. students will display an increased awareness of the needs of students and teachers beyond academic (i.e., social, mental, personal). 4. Ed.D. students will demonstrate a more caring attitude toward students placed at risk of educational failure. 5. Ed.D. students will display increased concern for diversity among students, faculty, and administration.	schools. 3. Graduates will move into more top-level leadership positions impacting policy in division and at state levels (e.g., principals, superintendents, DOE, etc.) 4. Ed.D. faculty and students will display a willingness to disrupt the status quo for the purpose of maximizing learning opportunities for all those involved in the organization.
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CONNECTING OUTCOMES AND IMPACT TO RESOURCES, ACTIVITIES, AND OUTPUTS

Drawing the picture (logic models) of our intended impact and outcomes now will help to identify aligned outputs, activities, and resources. Continuing the backward mapping concept is helpful here so it is recommended that outputs are selected first followed by activities, then lastly resources. An example of why this rationale is desired relates to the possibility that we might find that resources are inadequate to accomplish our intended results (outcomes and impact). The common practice in educational administration programs is to consider the resources first, and if deficient or insufficient, lower our goals and expectations of outcomes and impact. Focusing on the intended outcomes and impact first helps to identify and anticipate what will be needed for the Ed.D. program and seek out needed resources.

Connecting resources and actions to the Ed.D. program results is critical. Therefore, the alignment needs considerable attention to increase the likelihood of achieving the intended results. McDavid and Hawthorn (2006) pointed to the importance of “testing the causal linkages in program logic models” (p. 114). Their position is that we want to examine connections and linkages to see whether (for example) levels of outputs are correlated with levels of outcomes. Beginning with the end in sight (intended outcomes and impact) and using the concept of backward mapping and the creation of “if...then...” statements, the process helps to assure appropriate correlations and linkages between each of the five components of the logic model. To complete the entire logic model (see Figure 4), a few recommendations are offered here to align the resources, activities, and outputs to the desired and intended results.

Figure 4. A Completed Logic Model.

Certain resources are needed to operate your Ed.D. Program	IF you have access to the resources, THEN you can use them to accomplish your Ed.D. planned activities	IF you accomplish your planned activities, THEN you are likely to deliver the new programmatic features (e.g., action-based research dissertations)	IF you deliver the new programmatic features, THEN your Ed.D. students will increase their level of functioning such as attitudes, behaviors, knowledge and skills	IF doctoral students increase their level of functioning, THEN certain changes in schools, communities, and the level of teaching and learning might be expected to occur
Resources	Activities	Outputs	Outcomes	Impact
1. Five off-campus sites delivering the Ed.D. program to the Commonwealth of Virginia. 2. Force of 12 full-time education leadership faculty, with minimal use of adjuncts. 3. Travel funds to support delivery of the Ed.D. to the Blacksburg campus and five off-campus sites. 4. Generous travel funds for faculty travel to conferences and other professional development. 5. Tenure-track faculty receive one course reduction in load for their research and a second course reduction for their Ed.D. advising.	1. Course syllabi aligned with NCATE/ELCC standards. 2. Ed.D. students enter as cohort. 3. Ed.D. programs offered on three-year rotation across 5 sites to allow for reasonable and realistic dissertation load for faculty. 4. Series of benchmarks in place. 5. Implementation of 2-credit research and field studies modules offered each semester of the 3-year Ed.D. program. 6. Academic advisor in place upon entry and dissertation chair at end of 1 year. 7. Individual student Program of Studies completed at end of first semester. 8. Efforts made to expose Ed.D. students to all faculty members.	1. Doctoral students conducting action research/program evaluations/policy analyses to address pressing K-12 issues. 2. Increased quality and relevance of dissertation study. 3. Reduced number of Ed.D. dropouts. 4. Ed.D. students maintain 3.3 GPA throughout program. 4. 90% of doc students will defend dissertations in three years. 5. Program results in 100% completion rate in six years.	1. Ed.D. students will display an increased knowledge of using data to improve decision making. 2. Ed.D. students will become more able to process multiple tasks and determine appropriate solutions. 3. Ed.D. students will display an increased awareness of the needs of students and teachers beyond academic (i.e., social, mental, personal). 4. Ed.D. students will demonstrate a more caring attitude toward students placed at risk of educational failure. 5. Ed.D. students will display an increased concern for diversity and equity among students, faculty, and administration.	1. Graduates will positively impact student achievement in their schools. 2. Graduates will positively impact quality of instruction (teaching) in their schools. 3. Graduates will move into more top-level leadership positions impacting policy in division and at state levels (e.g., principals, superintendents, DOE, etc.) 4. Ed.D. faculty and students will display a willingness to disrupt the status quo for the purpose of maximizing learning opportunities for all those involved in the organization. 5. Virginia Tech increases statewide presence and increased impact on teaching and learning across the Commonwealth.

Outputs

As outputs are identified, we can more specifically address the *programmatic changes* we desire and revisit the “if...then...” statement we are using to align the programmatic changes to accomplish our already identified outcomes. For example, if we desire to increase our Ed.D. students’ level of functioning (e.g., effective use of data to improve decision-making), one programmatic change will be to carefully align our course syllabi to offer frequent and substantive opportunities for students to practice this skill. Experience and observation reveal that reserving the practice of this critical skill for the one or two research courses in the program has generally not accomplished the intended outcome (Creighton & Glenn, 2008). Figure 4 shows several other examples of outputs aligned with intended outcomes.

Activities

To help identify appropriate activities, we ask this question: what activities need to be implemented in order for the Ed.D. program’s intended results to be realized? In other words, what selected activities and processes help create a cohesive whole to achieve desired outcomes? Activities are relatively easy to implement and more importantly easy to monitor and change if necessary. They also help provide an effective means to document and benchmark progress as part of the evaluation process. “Which activities have been completed? Where did the program face barriers? How successfully were activities completed? What additional activities were discovered along the way that are critical to program success? (W. K. Kellogg Foundation, 2007a, p. 37).

Resources

Resources enable the Ed.D. program’s effectiveness and provide the support to carry out the activities and programmatic changes. Examples of resources are: funding, faculty, organizational structure, collaborating partners, statewide networks, facilities, technology, and supplies. As resources change in substantive ways that affect outputs, logic models should be adjusted to reflect changes in the activities, outputs, outcomes, and perhaps impact. All efforts should be made to maximize available resources to realize intended outcomes and impact.

Along with monitoring resources, the logic model should also account for any limiting factors such as negative attitudes, lack of resources, dwindling funds, policies, laws, regulations, and geography. As Kauffman et al., (1998) emphasized in their SWOT analysis, we are quick to analyze resources, opportunities, and strengths but not so quick to survey threats, weaknesses, and a lack of resources. Good program evaluation plans require an analysis of existing resources along with barriers that might be encountered along the way.

CONCLUDING THOUGHTS

This chapter has presented and discussed only one type of logic model. This particular logic model seems appropriate because it focuses on intended outcomes and impact of an education doctoral program (Ed.D.). The literature reveals a number of other logic models such as: a theories approach model (conceptual) or activities approach model (applied). It is not unusual to see programs using two or three types of models for different purposes. The Kellogg Foundation posits that no one model fits all needs and program leaders need to decide

on exactly what is to be achieved with a logic model and where they are in their program before deciding on which model to use. Readers are encouraged to investigate other models as presented in the Kellogg Foundation's Logic Model Handbook and Development Guide.

Logic models help us to create information for planning, designing, implementing, and assessing the results of our efforts to address and solve problems using policy and programs (McDavid & Hawthorn, 2006). It is a natural extension to consider their use in the creation, implementation, and evaluation of the Ed.D. programs in educational administration. Most important is the realization that logic models come in many variations and are not meant to provide a static picture of our programs, but instead assist in the dynamic nature of our work. Program leaders, faculty, and students must stand ready for frequent and continuous adaptation of logic models as we continually strive for program quality and improvement.

The education degree-granting institutions selected to participate in this initiative are committed to working together over the coming three years to strengthen every facet of their current doctoral programs—from candidate selection to the “capstone” experiences for advanced candidates, from the assessment procedures used in the program to the curriculum that is offered. Participants will be guided by recent work of the Carnegie Foundation that has focused on pursuit of excellence in doctoral education and professional preparation. The goal of CPED is to reclaim the education doctorate and to transform it into the degree of choice for the next generation of school and college leaders.

The intent of this effort is to focus on the doctorate of professional practice and to draw on recent work of the Foundation that carefully and critically examined the PhD in seven fields of study (including education). Outreach to academics in other fields (psychology, audiology, urban planning, design, pharmacology, engineering and physical therapy) who are engaged in a similar exploration will occur, but this initiative is intended to help participating education schools better distinguish between the two highest degrees offered with the intent of strengthening both. The goal of preparing better scholars and more skilled practitioners is a shared aspiration of the participants, but the specific focus of CPED is the education doctorate leading to highly skilled leadership in school and college settings and in the organizations that support them.

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Formal Faculty Mentoring in Higher Education: A Synthesis of Promising Practices

Carol A. Mullen

The focus of this paper is current research and practice in the area of formal mentoring in higher education. College leaders need access to knowledge of and information about formal mentoring programs that support the development and success of faculty members in education leadership and other academic disciplines. Coverage is needed of relevant ideas and tips on developing, implementing, and assessing formalized mentoring initiatives (Allen & Eby, 2007) that stretch beyond the results of single case studies and programmatic assessments. Because many institutional leaders are searching for a “leg up” with respect to proven mentoring programs that could benefit their own contexts (Mullen, 2008), this paper provides a synthesis of promising practices and documented findings. This synthesis contributes to mentoring and leadership theory while assisting developers in their efforts to design effective mentoring programs that benefit education leadership and administration faculty in particular. Readers can extrapolate to student populations with respect to formal mentoring programs.

THE LIFE-WORLD OF EDUCATIONAL LEADERSHIP FACULTY

Thanks for establishing the mentoring program. I appreciate having a network to fall back on if questions/problems develop. A friend of mine, a new faculty member, is experiencing a rough transition into academe, and I feel it is because she does not have the support of a mentoring structure. (1st-year assistant professor, New Faculty Mentoring Program [NFMP] participant, November 2006)

The above words belong to an education leadership professor who was in transition from the school to the university culture. While such documented testimonial statements from this population are few, they are worthy of contemplative analysis and impress upon us that transition to the professoriate for new faculty members is highly stressful (Selby & Calhoun, 1998), a reality that is compounded without the support of effective faculty mentors and mentoring scaffolds.

Why might this transition pose particular difficulty? For one thing, these adults are, unlike most other freshly minted doctors and midlife careerists in that they have left one career in education for another. While few doctoral students in education leadership programs move directly from degree completion into higher education, a far greater number eventually arrive there after having assumed leadership positions at the school or district level (Creighton, Parks, & Creighton, 2008). They are suddenly required as older members of the professoriate to engage in scholarly pursuit that is, at least initially, self-centered and vastly different from

the practical concerns of their K–12 educational world (Coleman et al., 2006). When they were doctoral students, these professors were mentored around their practitioner goals at the near expense of their scholarly goals (Creighton et al., 2008).

In addition, the hectic life of interacting with children or staff, parents, teachers, and stakeholders shifts to a slower, more reflective space when the practitioner educated leader enters the university as an assistant professor. University life for education leadership faculty focuses on teaching aspiring school administrators (Brown & Vornberg, 2005), conducting research that results in publishable writing (Coleman et al., 2006), and, importantly, deciphering expectations for research, teaching, and service (Coleman et al., 2006; Mullen & Forbes, 2000).

Moreover, leaders who enter the professoriate on tenure tracks encounter an unfamiliar culture, complete with its own codes, rituals, and politics. Survival for many new educational leadership faculty therefore depends on the assistance provided by experienced, altruistic insiders, particularly successfully transitioned principals, superintendents, and other leaders receptive to taking newcomers under their wing.

Underlying this changing professional context and the seemingly elusive expectations of tenure and promotion is the struggle to develop an identity and place commensurate with the life of a professor (Coleman et al., 2006; Mullen & Forbes, 2000). A review of the literature across disciplines (Coleman et al., 2006; Hensley, Erickson, Kinsey, & Stine, 2006; de Janasz & Sullivan, 2004) confirms the shortage of formal mentoring programs that provide new university professors with the level of support they need to succeed as developing academics and in research, teaching, and service. Faculty members who are systemically mentored demonstrate greater productivity in leadership, receive more competitive grants, and publish more than faculty without mentors (Coleman et al., 2006; Johnson, 2006; Mullen, 2008). Thus, formal mentoring programs for education leadership faculty, and indeed all new university faculty, are sorely needed. They are gaining popularity nationwide but need greater representation in the educational literature (Gibb, 1999).

How do practitioners with solid experience in school leadership obtain the know-how and experience needed to thrive in the changing university setting? Upon entry into their new jobs as assistant professors, they cannot afford to flounder and so must quickly adapt. Expectations for scholarly productivity in the highly challenging and competitive arena of refereed publication have escalated for faculty seeking tenure and promotion in research institutions where one's work must be consistent with the core values and strategic directions of the workplace (Brown, 2006; Tierney, 2001).

PROGRAM CONCEPTUALIZATION, STRUCTURE, AND APPROACHES

Leadership and Decision-Making

Positive cultural change occurs within learning organizations through the development of collaborative support environments; moreover, these are strengthened when decisions are made from the bottom up (faculty level) and top down (administrative level) (Fullan, 1999). Through two-way communication, it is easier to solicit buy-in from faculty and administrators and, importantly, to join representatives from both camps in genuine partnership. It is worth noting that faculty-led initiatives probably have greater appeal and integrity for college professors than those where administrators set the pace (Luna & Cullen, 1995). In education

leadership departments, faculty members who have held significant decision-making roles can be capitalized upon as a resource in the development of formal mentoring programs.

As a leadership professor, I initiated a collegewide, formal mentoring opportunity for 1st- and 2nd-year junior faculty members at my former institution, where none previously existed. I prepared a proposal arguing the need for such a program in education, outlining its possible structure and components and citing research on existing programs that seemed to fit our context. The program then rapidly formed through two forces: (1) joint decision-making between the faculty leader and the administrative leaders and (2) proactive consultation of promising practices involving faculty-to-faculty mentoring in higher education (for a detailed description of the NFMP, see Mullen, et al., 2008).

It may be naïve to think that any major formal mentoring initiative can be undertaken without the support of college leaders or, conversely, that administrators can proceed without the grassroots effort of faculty, preferably those with strong leadership skills and current mentoring knowledge. In the case of the NFMP, it encapsulated two-way decision-making (Fullan, 1999) and faculty leadership (Luna & Cullen, 1995). Hence, the implementation of this program was made possible by two interdependent events: the self-initiative of a tenured faculty member and the support of a dean. Such two-way leadership can serve not only to support new initiatives but also to sustain them. Hence, this faculty-led (bottom-up) approach relative to such time-consuming service commitments as programmatic planning, structure, and assessment was enabled through the sponsorship and support of administrative leaders.

Formal Mentoring

Academic relationships that are formal, planned, structured, and potentially long-term are intrinsic to formal mentoring. Eby, Rhodes, and Allen (2007) describe relationship initiation and relationship structure as the originating sources of formal mentoring. In the first case, faculty members are assigned to the relationship by a third party, such as a program coordinator, an academic advisor, or department chair (Campbell, 2007). The pairs involved do not select one another. In the second case, relationship structure influences the formality of the mentoring relationship, with such elements as program structures, objectives, and guidelines communicated prior to the development of relationships and through such materials as brochures and mission statements (Eby, et al., 2007). Metaphorically speaking, formal mentoring is an arranged marriage, which necessitates an orientation for the newly committed to work through their awkwardness (Allen & Eby, 2007).

The formalized academic mentoring relationship revolves around an experienced professor (mentor) taking an active role in supporting and developing the career of a neophyte professional, also known as the mentee or learner (e.g., Luna & Cullen, 1995; Mullen, 2005). Effective mentors guide mentees using their institutional knowledge of the norms, values, and procedures of the institution and from professional experience. Access to the tacit knowledge of productive scholars—such as the ability to collaborate and establish social supports, and to develop scholarly agendas that connect research and practice—can help prepare new and future researchers (Mullen, 2008; Tschannen-Moran & Nestor-Baker, 2004). The goal is for beginning faculty (or students) to become quickly socialized into academe from seasoned colleagues who serve as role models and advisors.

New faculty members develop successful careers more rapidly in academic environments when expectations for successful performance are explicit and intellectual interests and career development are supported (Tierney, 1999). In contrast, academe is often characterized as an environment in which standards defining successful performance are unwritten or vague (e.g.,

Tierney, 1999), leaving people to learn their roles primarily through experience. Although mentoring relationships may sometimes develop on an informal basis, mentoring support for new faculty members is not the norm (Morin & Ashton, 2004; Tierney, 1999). Formal mentoring offers a potential solution to this pervasive cultural problem.

The Stage Structure

A stage approach to formal faculty mentoring practices within academies and professional associations has recently been illustrated through a wide range of promising practices. Specifically, a three-stage approach (i.e., early, developing, and mature) represents as one possibility the development of faculty (and student) mentoring programs (Mullen, 2008; Mullen, et al., 2008).

In general, the early stage of formal mentoring programs incorporates study results and “lessons learned” into experiments ranging from unit-based to college-based to university wide programs. In one early-stage program, a university provost’s office was responsible for facilitating activities focused on assisting new faculty members with their professional socialization and productivity through the formation of mentoring relationships with tenured colleagues (Davis, 2008). In this study, an African-American female reflected on personal and professional opportunities for mutual learning and increased collegiality.

The developing stage of formal mentoring programs describes practices of faculty mentoring that have been underway for some time on higher education campuses and via academic associations. Emphasis is on the evolutionary aspects of integral mentoring program components that can promote the learning and cultural capacity of universities. For example, Dubin and Recht (2008) described the evolution of a mentoring system from a university wide mentoring program to an induction program for new faculty. Their story highlights the use of research and survey data to design and implement a program that better supports new faculty during their initial year of employment.

In contrast, the mature stage of formal mentoring programs features advanced forms of mentoring relative to faculty and student cultures and embraces proven organizational efforts within the academy that extend to professional conferences. Researchers have examined the quality and effectiveness of mentoring structures and strategies over time, with implications for program developers. As one such example, Chan (2008) described an editor’s academic writing forum, a formal faculty mentoring program supported by the American Educational Research Association and founded by faculty chairperson Mullen in 1999 whereby beginning scholars were mentored in writing for publication in academic research journals and for the professoriate more generally.

RECOMMENDATIONS FOR FOSTERING MENTORING PROGRAMS

In summary, the literature cited herein, from a synthesizing perspective, offers tips that can be summarized as follows.

Tip 1: Establish Program Vision and Goals

A clear program vision and goals are essential for guiding participants (i.e., faculty mentors and mentees) and these must be reinforced through group activity, in addition to electronic and printed media. The vision undergirding such programs might be to support the

scholarly development of new faculty and help them succeed through a structured teaching/learning process and formalized collegial relationships. This approach promotes the professional development of new faculty members, provides seasoned faculty with opportunities to share their expertise, and assists faculties and departments in actively mentoring new faculty. The scholarly development of newcomers is enabled through diverse arrangements, which support the retention and advancement of all new faculty, especially when sustained by collegewide mentoring and ongoing best practice (Dubin & Recht, 2008; Mullen, et al., 2008; Mullen, 2008).

Tip 2: Foster Two-Way Decision Making

New faculty mentoring programs have a better chance of surviving if they involve the initiative of faculty members with expertise in mentoring and college leaders who support a professional development program for all new professors. Successful faculty programs have sometimes been developed through two-way decision-making and consultation of the literature on faculty mentoring (Mullen, et al., 2008). Applying Fullan's (1999) notion of organizational change as a two-way process of leadership, bottom-up or grassroots leadership from faculty with requisite expertise in such practical areas as organizational and human development, combined with top-down or administrative leadership from individuals who value faculty leadership and development, helps to ensure that mentoring programs that are initiated are also collaborative and sustained. Faculty can develop proposals for mentoring programs to share with administrative leaders for support, or deans can gather examples from institutions and elicit the necessary support of faculty and chairs (Mullen, et al., 2008). However, formal mentoring programs that work well are not overly institutionalized and coordinators' roles are both determined and shaped by the needs of faculties and faculty participants (Dubin & Recht, 2008; University of Manitoba, 2006) and, it is essential to add, administrative leaders who are engaged visionaries (Mullen, 2008).

Tip 3: Promote Flexibility in Organization

Program structures and activities should be carefully deliberated but also flexible and subject to change based on feedback provided by faculty participants and promising practices in the mentoring literature. Such activities can include fall orientations, meet-and-greet luncheons for new faculty and their mentors and department chairs, workshops, library database tutoring sessions, and research and scholarship panels. Program participants (e.g., new faculty, department mentors, college mentors) can appraise the effectiveness of their own mentoring experiences, in addition to that of the program itself (Chan, 2008; Dubin & Recht, 2008).

Tip 4: Pursue Balance in Goals

New faculty members' scholarly needs are both career focused and psychosocial (Kram, 1985/1988), so assistance in research and teaching is required, as well as adjustment and socialization. These two major functions of academic mentoring relationships—career (e.g., sponsorship, coaching, protection) and psychosocial (e.g., role modeling, counseling, friendship)—have proved relevant to the reported success and growth of many programs for both new faculty and mentors (Johnson, 2006).

Tip 5: Create Three-Way Mentorships

Because rising faculty and academic newcomers benefit from more than one mentoring relationship, the goal is for them to receive assistance from multiple, coexisting sources (Higgins, 2000) specifically configured as a dynamic mentoring triad (Mullen & Kennedy, 2007). Triangulated relationships that bring together new faculty with faculty mentors from outside as well as inside their departments increase the potential for effective mentoring. Tenure-earning faculty members in some university mentoring experiments have been known to function as the center of a mentoring triad, assigned to a mentor in the department and the college. It appears that academic protégés benefit more from multiple, rather than single, relationships (e.g., Head, Reiman, & Thies-Sprinthall, 1992). Department chairs can be asked to identify department mentors, and the mentoring coordinator can make the college matches, with input from such well-positioned individuals as associate deans for academic affairs.

Tip 6: Structure Contextual Relevance in Mentoring

College and department mentoring arrangements function somewhat differently. Department mentors are likely to have close contact with new faculty members, serving as an invaluable resource and sounding board. The college mentor is a “go-to” person for discussing any concerns in confidence: An outsider to the mentee’s department and possibly discipline, this college-level mentor can offer fresh perspectives on cultural factors and other collegewide issues relevant to newcomers. Both mentors are seasoned scholars who can provide professional guidance on the faculty member’s research and teaching while simultaneously attending to the “socialization” needs of a new professor (Mullen, et al., 2008; Mullen & Kennedy, 2007).

Tip 7: Seek Understanding of Structural Barriers

Physical distance and time can become significant barriers to successful mentoring for some faculty pairs. Distance in some contexts has less to do with proximity within units as opposed to campus location for those college campuses nested within a multi-institutional organization. New professors who are situated at a regional campus in a system dependent on a main campus are inevitably challenged, as are their mentors. As one solution, newly hired regional faculty may agree to three mentors, with at least one from their own site and another from the main campus, although “death by mentoring,” so to speak, must be closely monitored and avoided (Mullen, et al., 2008).

Tip 8: Assess Program Efficacy

Faculty mentor programs need to be assessed and recommendations for changes not only solicited but also entertained (Chan, 2008; Dubin & Recht, 2008). Assessments can be carried out through surveys distributed at the beginning and end of each annual cycle. Reliability can then be achieved through several means: overlap with studies in faculty mentoring (e.g., Morin & Ashton, 2004), feedback from a survey-design specialist on the original instrument, and modifications to the survey instrument based on participant input. Besides providing mentoring programs with a means for continuous improvement, this assessment structure enables mentees and mentors alike to identify the strengths and weaknesses of the program and the leadership team to address concerns. An end-of-year evaluation is too late to discover

that someone may have had a frustrating experience. A policy of confidentiality governs the coordinator's private communications with these individuals, and frequent monitoring is recommended for enabling early intervention (Mullen, et al., 2008).

Tip 9: Build Cultural Capacity

Institutional leaders (e.g., department chairs, senior faculty members) and junior faculty members may find it beneficial to participate in dialogue grounded in cases and focused on the possibilities and limitations of formal faculty mentoring for their particular context. The program that would evolve should ideally be developed with all representative stakeholders' input and ideas on the table. The inclusion of faculty experts with the requisite expertise can help jump-start this process by providing both a framework and/or set of principles for developing such a program and real-world examples that illustrate those principles in action.

Faculty-initiated mentoring programs that are supported by administrative partners propel desired changes in academic culture. Relatively minor changes can dramatically affect how individuals (e.g., faculty members, academic leaders) behave and see themselves (Gladwell, 2002). Formal mentoring programs that gather momentum and garner respect impact new academics and even seasoned faculty. Where these programs generate not modest but wide-sweeping changes—as evidenced in the greatly enhanced reputation of an institution, the magnetic attraction of new faculty and other constituents, or the desire of outsiders to adopt what is viewed as a best practice—they will have reached a “tipping point” (Gladwell, 2002). Through synergy and reinforcement, faculty mentoring becomes contagious. Programs that are currently modest can become “movements” once faculty–faculty mentoring “sticks” within the organizational culture (Mullen, et al., 2008).

Tip 10: Recognize That One Size Does Not Fit All

Not all seasoned faculty value mentoring others, and not all neophyte faculty benefit from mentoring and networking. However, no problems result if the latter are able to make the expected progress as tenure-earning faculty through acceptances from publishers, good teaching evaluations from students, and whatever else may be valued at a particular institution (Johnson, 2006). Informal mentoring supports can work well within faculty cultures that are synergistic and collegial. Some new and senior faculty members prefer developing mentoring relationships that are natural and spontaneous (Johnson & Ridley, 2004), so their wishes must be respected. Nevertheless, due to potential inadequacies resulting in the lack of mentoring for many new faculty members, particularly females and minorities (Hansman, 2003), formalized mentoring arrangements often prove necessary; when successful, this process can actually stimulate collegiality and collaboration among colleagues across rank, discipline, and place.

CONCLUDING WORDS

Given the overall positive appraisal herein of formal faculty mentoring for education leadership units, I wish to point out a few misgivings. For one, while empirical studies of formal mentoring programs and their growth and efficacy are gradually increasing, these remain very modest in number (Ellinger, 2002). For another, mentoring programs can carry a note of paternalism, implying that new faculty members can only succeed with a parental structure in place and/or that they are not capable of seeking out senior faculty on their own (Selby & Calhoun, 1998). It is crucial, then, that mentoring programs are set up in such a way

as to respect the individuality and autonomy of new faculty members who may want to be nurtured in different ways or who may choose not to be formally mentored at all.

As another cautionary note, it must be underscored that efforts to mentor junior faculty, where these are haphazard and episodic, can actually do more harm than good. Instead, the goal should be to create programs that have buy-in from all major constituent groups and that are intentional and systematic (Johnson & Ridley, 2004; Mullen, 2008). This was the major lesson learned of a junior faculty task force's recent investigation, the faculty leader of whom concluded, "Faculty mentoring is clearly one of the areas that we need to improve if we are to attract and retain high-quality faculty members as a research doctoral-granting institution" (personal communications, director of a teaching/learning academy in North Carolina, October 17, 2007).

Also of concern, the central dynamic of the adult mentoring relationship is its hierarchical nature (Johnson-Bailey & Cervero, 2002; Hansman, 2003). Faculty mentors with a feminist orientation deliberately work to change mentoring relationships from that which is transmissive and traditional to that which is collaborative and power-sharing, and to deconstruct and transform the received norms and values of organizational relationships. Mentoring programs that promote the treatment of all new faculty members as equal colleagues within a mutually supportive community that, in its rich diversity, makes a workplace thriving and interconnected can make all the difference. To this end, I have advanced a perspective complete with conceptual orientations and strategies that others can consider for adaptation to their own unique contexts.

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